

# BOARD OF VISITORS OF THE COLLEGE OF WILLIAM AND MARY IN VIRGINIA

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WILLIAM  
& MARY

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## COMMITTEE MEETINGS

*James B. McNeer Science and Technology Building - Richard Bland College*  
November 16, 2015

*Board Rooms - Blow Memorial Hall*

November 18-20, 2015

## SCHEDULE

Board of Visitors Committee Meetings  
The College of William and Mary

November 16, 2015

James B. McNeer Science and Technology Building - Richard Bland College

November 18-20, 2015

Blow Memorial Hall - College of William and Mary

### MONDAY, NOVEMBER 16:

#### McNEER SCIENCE AND TECHNOLOGY BUILDING – RICHARD BLAND COLLEGE

9:30 p.m. Coffee available

10:00 a.m. Academic Showcase tour

#### McNEER SCIENCE AND TECHNOLOGY BUILDING – ROOM 104

11:30 a.m.-

1:45 p.m. Richard Bland College Committee  
(President Sydow)  
Lynn M. Dillon  
Sue H. Gerdelman  
William H. Payne, II  
Lisa E. Roday  
Karen Kennedy Schultz  
Jill Mitten, faculty representative  
Amanda Archer, student representative

John E. Littel, Chair  
Ann Green Baise, Vice Chair

- A. Approval of Minutes – September 16, 2015
- B. General Reports
- C. Action Material
  - 1. **Resolution 1**, page 10
  - 2. **Resolution 2**, pages 11-13
  - 3. **Resolution 12**, page 60 (*joint with William & Mary*)
- D. Informational Material
  - 1. Enclosure A, pages 14-16
  - 2. Enclosure B, pages 17-18
- E. Closed Session (if necessary)

2:00 p.m. Ribbon Cutting Ceremony – Social Sciences, Humanities and English Building

Board of Visitors  
SCHEDULE  
November 18-20, 2015

**WEDNESDAY, NOVEMBER 18:**

**BOARD DINING ROOM**

3:15 p.m.      Coffee available

**RECTOR'S OFFICE - EXECUTIVE COMMITTEE**

4:15-6:30 p.m.      Executive Committee  
(Mr. Fox)

Todd A. Stottlemyer, Chair  
H. Thomas Watkins III, Vice Chair  
Sue H. Gerdelman, Secretary

Kendrick F. Ashton, Jr.  
Ann Green Baise  
Thomas R. Frantz  
Robert E. Scott

- A. Approval of Minutes – September 18, 2015
- B. Discussion topics
- C. Closed Session (if necessary)

**THE COMMONS DINING HALL**

6:45 p.m.      Reception and Dinner

Board of Visitors  
SCHEDULE  
November 18-20, 2015

**THURSDAY, NOVEMBER 19:**

**BOARD DINING ROOM**

7:30 a.m. Breakfast available

**BOARD CONFERENCE ROOM - COMMITTEE ON AUDIT AND COMPLIANCE**

8:00-9:30 a.m.	<u>Committee on Audit and Compliance</u> (Mr. Erdahl) Ann Green Baise John E. Littel William H. Payne II DeRonda M. Short	John Charles Thomas, Chair Christopher M. Little, Vice Chair
	A. Approval of Minutes – September 19, 2015 B. Report from Auditor of Public Accounts C. Report from Report from Director of Internal Audit 1. <b>Resolution 3</b> , page 21 D. Report from Chief Compliance Officer E. Closed Session (if necessary)	

**BOARD ROOM - COMMITTEE ON ACADEMIC AFFAIRS**

8:45-9:30 a.m.	<u>Committee on Academic Affairs</u> (Provost Halloran) Kendrick F. Ashton, Jr. James A. Hixon Lisa E. Roday Karen Kennedy Schultz Suzanne Raitt, faculty representative	Robert E. Scott, Chair Lynn M. Dillon, Vice Chair
	A. Approval of Minutes – September 19, 2015 B. Report from Provost C. Report from Faculty Liaison Committee Chair D. Closed Session (if necessary) E. Action Materials 1. <b>Resolution 4</b> , page 23 2. <b>Resolution 5</b> , page 24 3. <b>Resolution 6</b> , pages 25-34 4. <b>Resolution 7</b> , page 35 5. <b>Resolution 8</b> , page 36 6. <b>Resolution 9</b> , pages 37-38	

Board of Visitors  
SCHEDULE  
November 18-20, 2015

**THURSDAY, NOVEMBER 19:**

**BOARD ROOM – COMMITTEE ON UNIVERSITY ADVANCEMENT**

9:30-10:00 a.m. Committee on University Advancement Sue H. Gerdelman, Chair  
Lynn M. Dillon, Vice Chair  
Keith S. Fimian, Vice Chair  
Christopher M. Little, Vice Chair  
(Mr. Lambert)

A. Approval of Minutes  
1. September 19, 2015  
2. October 22, 2015

B. University Advancement Report

C. Closed Session (if necessary)

**BOARD ROOM – COMMITTEE ON STRATEGIC INITIATIVES AND NEW VENTURES**

10:00-10:30 a.m. Committee on Strategic Initiatives and New Ventures Thomas R. Frantz, Chair  
John E. Littel, Vice Chair  
Lisa E. Roday, Vice Chair  
Robert E. Scott, Vice Chair  
H. Thomas Watkins III, Vice Chair  
(Provost Halleran, Mr. Broaddus)

A. Introductory Remarks

B. University Dashboard Update  
1. Enclosure C, pages 41-43

C. Update on Regional Activity

D. Closed Session (If necessary)

**BOARD ROOM**

10:40-11:20 a.m. Provost Report

**BOARD ROOM – COMMITTEE ON STUDENT AFFAIRS**

11:20 a.m.-Noon Committee on Student Affairs Lisa E. Roday, Chair  
William H. Payne II, Vice Chair  
(Ms. Ambler)

A. Report from Vice President for Student Affairs

B. Report from Student Liaisons

**BLOW ROOM 201:**

12:15 -1:30 p.m. Lunch with students

Board of Visitors  
SCHEDULE  
November 18-20, 2015

**THURSDAY, NOVEMBER 19:**

**BOARD ROOM - COMMITTEE ON ADMINISTRATION, BUILDINGS AND GROUNDS**

2:00-3:15 p.m.     Committee on Administration, Buildings and Grounds     Ann Green Baise, Chair  
(Mr. Jones)     John Charles Thomas, Vice Chair  
Keith S. Fimian  
James A. Hixon  
William H. Payne II  
Karen Kennedy Schultz  
DeRonda M. Short  
Elizabeth Barnes, faculty representative

A. Approval of Minutes – September 20, 2015  
B. Report from Building Official  
C. Report from Virginia Institute of Marine Science Dean/Director  
    1. Enclosure D, pages 46-48  
D. Report from Senior Vice President for Finance and Administration  
    1. Enclosure E, pages 49-55  
    2. **Resolution 10**, page 56  
E. Closed Session (if necessary)

**BOARD ROOM – COMMITTEE ON ATHLETICS**

3:15-4:00 p.m.     Committee on Athletics     H. Thomas Watkins III, Chair  
(Mr. Driscoll)     DeRonda M. Short, Vice Chair  
Kendrick F. Ashton, Jr.  
Keith S. Fimian  
Thomas R. Frantz  
Sue H. Gerdelman  
Denise Johnson, faculty representative

A. Approval of Minutes – September 19, 2015  
B. Closed Session (if necessary)  
C. Tribe Club Survey  
D. Events

**BOARD ROOM**

4:00-5:45 p.m.     Full Board meeting     Mr. Stottlemyer  
5:45 p.m.     Recess

**WILLIAM & MARY HALL:**

6:00 p.m.     Board Reception – Wightman Cup Room  
7:00 p.m.     Basketball – W&M vs. Washington Adventist

Board of Visitors  
SCHEDULE  
November 18-20, 2015

**FRIDAY, NOVEMBER 20:**

**BOARD DINING ROOM**

8:15 a.m. Breakfast available

**BOARD ROOM – COMMITTEE ON FINANCIAL AFFAIRS**

8:45-9:45 a.m. Committee on Financial Affairs Kendrick F. Ashton, Jr., Chair  
(Mr. Jones) John E. Littel, Vice Chair

Lynn M. Dillon  
Thomas R. Frantz  
James A. Hixon  
Christopher M. Little  
Robert E. Scott  
H. Thomas Watkins III  
Eric Chason, faculty representative

- A. Approval of Minutes – September 20, 2015
- B. Report from Senior Vice President for Finance and Administration
  - 1. **Resolution 11**, page 59
  - 2. **Resolution 12**, page 60 (*joint with Richard Bland*)
  - 3. **Resolution 13**, page 61
  - 4. Enclosure F, pages 62-71
- C. Report from Virginia Institute of Marine Science Dean/Director
  - 1. Enclosure G, page 72
- D. Investment Portfolio Evaluation Overview
  - 1. Enclosure H (*see separate booklet*)
- E. Closed Session (if necessary)

9:45 a.m. Recess Committees

**BOARD ROOM – BOARD OF VISITORS MEETING:**

10:00 a.m. BOARD MEETING - see MEETING AGENDA Mr. Stottlemeyer

**BOARD DINING ROOM**

@Noon Lunch

AGENDA ITEMS  
Board of Visitors Meeting  
The College of William and Mary in Virginia

November 18-20, 2015  
Board Room - Blow Memorial Hall

RICHARD BLAND COLLEGE

Resolution 1, page 10	Adoption of Changes to Richard Bland College Policy Manual ( <b>see separate booklet</b> )
Resolution 2, pages 11-13	Modification to the Faculty Handbook with Regard to Specified Term Appointments
Resolution 12, page 60	Receipt of the Consolidated Financial Report of The College of William and Mary in Virginia and Richard Bland College for the Fiscal Year Ended June 30, 2015 ( <i>joint with William and Mary</i> )
Enclosure A, pages 14-16	Report from Faculty Representative
Enclosure B, pages 17-18	Report from Student Representative

COLLEGE OF WILLIAM AND MARY

Resolution 3, page 21	Approval of the Office of Internal Audit 2016 Work Plan
Resolution 4, page 23	Appointments to Fill a Vacancy in the Executive Faculty
Resolution 5, page 24	Appointments to Fill a Vacancy in the Instructional Faculty
Resolution 6, pages 25-34	Appointments to Fill Vacancies in the Professionals and Professional Faculty
Resolution 7, page 35	Designated Professorships
Resolution 8, page 36	Faculty Leave of Absence

Board of Visitors  
AGENDA ITEMS  
November 18-20, 2015

Resolution 9, pages 37-38	Retirement of John M. Brubaker School of Marine Science
Resolution 10, page 56	Resolution to Approve Easement for New Transformer for Zable Stadium Underground Electric Facilities: Virginia Electric and Power Company
Resolution 11, page 59	Continuation: William & Mary Promise
Resolution 12, page 60	Receipt of the Consolidated Financial Report of The College of William and Mary in Virginia and Richard Bland College for the Fiscal Year Ended June 30, 2015 ( <i>joint with Richard Bland College</i> )
Resolution 13, page 61	Receipt of the Financial Report of the Intercollegiate Athletic Department for the Fiscal Year Ended June 30, 2015
Resolution 14	Amendments to the Bylaws of the Board of Visitors
Enclosure C, pages 41-43	Strategic Planning Dashboard
Enclosure D, pages 46-48	Virginia Institute of Marine Science Capital Outlay Project Progress Report
Enclosure E, pages 49-55	College of William and Mary Capital Outlay Project Progress Report
Enclosure F, pages 62-71	College of William and Mary FY 2015-2016 Operating Budget Summary
Enclosure G, page 72	Virginia Institute of Marine Science FY 2015- 2016 Operating Budget Summary
Enclosure H	Investment Portfolio Evaluation for Periods Ending September 30, 2015 ( <i>see separate booklet</i> )

RICHARD BLAND COLLEGE COMMITTEE  
November 16, 2015  
11:30 a.m. – 1:45 p.m.  
Room 104 – James B. McNeer Science and Technology Building

John E. Littel, Chair  
Anne Green Baise, Vice Chair

- I. Introductory Remarks – Mr. Littel
- II. Approval of Minutes – September 16, 2015
- III. General Reports
  - A. Report from President - Debbie L. Sydow
  - B. Report from Special Assistant to the President, Finance – Penny Howard
  - C. Report from Faculty Representative – Jill Mitten
  - D. Report from Student Representative – Amanda Archer
- IV. Action Material
  - A. Adoption of Changes to Richard Bland College Policy Manual (**see separate booklet**) Resolution 1
  - B. Modification to the Faculty Handbook with Regard to Specified Term Appointments Resolution 2
  - C. Receipt of the Consolidated Financial Report of The College of William and Mary in Virginia and Richard Bland College for the Fiscal Year Ended June 30, 2015 (*joint with William and Mary*). Resolution 12
- V. Informational Material
  - A. Report from Faculty Representative Enclosure A
  - B. Report from Student Representative Enclosure B
- VI. Closed Session (if necessary)
- VII. Discussion
- VIII. Adjourn
- IX. Ribbon Cutting Ceremony – Social Sciences, Humanities and English Building

RICHARD BLAND COLLEGE COMMITTEE  
MINUTES – SEPTEMBER 16, 2015

**MINUTES**  
**Richard Bland College Committee**  
**September 16, 2015**  
**Board Room – Blow Memorial Hall**

Attendees: John E. Littel, Chair; Ann Green Baise, Vice Chair; Lynn M. Dillon; Sue H. Gerdelman, William H. Payne II, Lisa E. Roday and Karen Kennedy Schultz; faculty representative D. Jill Mitten, student representative Amanda Archer. Board members present: Rector Todd A. Stottlemeyer and Christopher M. Little. Others present: President Debbie L. Sydow, Lashrecse Aird, Frances C. Bradford, Henry R. Broaddus, Kent B. Erdahl, Michael J. Fox, John D. Griffin, Tyler Hart, Penny Howard, Vern L. Lindquist, Deborah A. Love, Sarah E. Melchior, Brian W. Whitson, Joanne Williams, Sandra J. Wilms, Stephen Wilson and other Richard Bland and William and Mary staff.

Chair John Littel called the Committee to order at 3:25 p.m., welcomed the new members and briefly reviewed the agenda.

Recognizing that a quorum was present, Mr. Littel asked for a motion to approve the minutes of the meeting of April 23, 2015. Motion was made by Ms. Baise, seconded by Ms. Dillon, and approved by voice vote of the Committee.

President Debbie Sydow reported that, thanks to the extraordinary efforts of the administrative team, the new academic year was off to a strong beginning, with all metrics indicating success in the achievement of RBC-19 goals. The President briefly reviewed several highlights of the 2013-2015 Richard Bland College Progress Report, as detailed in Enclosure A.

Dean of Enrollment Services Tyler Hart reported on enrollment growth and the 2019 enrollment plan, as well as current academic partnerships and the Exceptional Student Experience (ESE) initiative launched earlier in September. A brief discussion ensued.

Dean of Faculty and Academic Effectiveness Vern Lindquist provided an update on shared governance and the work done over the summer by the Shared Governance Task Force. Dean Lindquist thanked Professor Jill Mitten, who served as co-chair of the task force. A brief discussion ensued.

President Sydow introduced Penny Howard, who is serving as Special Assistant to the President for Finance. Ms. Howard provided the financial update, reviewed the operational efficiency of 2012 versus 2015, and provided an update on the 2014-2015 operating budget, as detailed in Enclosure B.

Eric Kondzielawa, Director of Property Management, reviewed capital outlay progress, as detailed in Enclosure C, reviewed capital improvements, especially the Social Sciences and Humanities Building, formerly Ernst Hall, and discussed the planned renovation of the former Commerce Hall building, which is being repurposed for student housing. A brief discussion ensued.

Richard Bland College Committee

MINUTES

Page 2

Director of Annual Fund and Alumni Relations Stephen Wilson provided an advancement and alumni update, and thanked Ms. Gerdelman and Mr. Littel for their participating in recent fund raisers. A brief discussion ensued.

Faculty representative Jill Mitten reported on faculty issues, detailed in Enclosure E, and discussed the work of the Shared Governance Task Force done over the summer. A brief discussion ensued.

Student representative Amanda Archer reported on recent student activities, detailed in Enclosure F.

Following President Sydow's overview, Mr. Littel asked for a motion to approve **Resolution 1**, Appointments to Fill Vacancies in the Instructional Faculty, and **Resolution 2**, Appointments to Fill Vacancies in the Professionals and Professional Faculty. Motion was made by Ms. Baise, seconded by Ms. Dillon and approved by voice vote of the Committee.

Mr. Littel then asked for a motion to approve **Resolution 3**, 2016-2022 Six-Year Plan, and **Resolution 17**, 2016-2018 Operating Budget Request. Motion was made by Ms. Baise, seconded by Ms. Dillon and approved by voice vote of the Committee.

President Sydow advised that the 2015 Annual Report has been distributed to friends of the College as well as elected officials and thanked Director of Communications Joanne Williams for her excellent work.

The President distributed copies of the draft Policy Manual, noting it was still a working document, detailed as Enclosure D. She advised that the final form would be presented to the Committee for review and action at the November meeting.

Mr. Littel moved that the Richard Bland College Committee convene in Executive Session for the purpose of discussing personnel matters pertaining to the performance and evaluation of specific executive employees and the evaluation of the performance of departments or schools; and for briefings by legal counsel or staff members pertaining to specific legal matters, as provided for in Section 2.2-3711.A.1. and 7., of the Code of Virginia. Motion was seconded by Ms. Baise and approved by voice vote. The observers were asked to leave the room and the Committee went into Executive Session at 4:43 p.m.

The Committee reconvened in open session at 5:20 p.m. Mr. Littel reviewed the topic discussed during closed session, and then moved adoption of the **Resolution** certifying the closed session was held in compliance with the Freedom of Information Act. Motion was seconded by Ms. Baise and approved by roll call vote of the Board members conducted by Mr. Littel. (Certification **Resolution** is appended.)

There being no further business, the Committee adjourned at 5:20 p.m.

Richard Bland College Committee  
September 16, 2015

**Resolution RBC-1**

**CERTIFICATION OF CLOSED SESSION**

WHEREAS, the Board of Visitors Richard Bland College Committee has convened a closed session on this date pursuant to an affirmative recorded vote and in accordance with the provisions of The Virginia Freedom of Information Act; and

WHEREAS, §2.2-3712.D. of the Code of Virginia requires a certification by this Committee that such closed session was conducted in conformity with Virginia law;

NOW, THEREFORE, BE IT RESOLVED, That the Richard Bland College Committee, reconvening in open session, 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 session to which this certification 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 Richard Bland College Committee.

**VOTE**

AYES: 7

NAYS: 0

**ABSENT DURING CLOSED SESSION:**

  
John E. Littel  
Chair  
Richard Bland College Committee

**ADOPTION OF CHANGES TO RICHARD BLAND COLLEGE  
POLICY MANUAL**

At the April 24, 2015, meeting, the Board of Visitors approved **Resolution 1(R), Approval of the Richard Bland College Policy Manual.**

Additional policies have been developed, intended to supplement the Policy Manual as approved.

**THEREFORE, BE IT RESOLVED**, That on recommendation of the President, the Board of Visitors of The College of William and Mary in Virginia approves the additional policies to supplement the existing Richard Bland College Policy Manual; and

**BE IT FURTHER RESOLVED**, That the policies contained in the Richard Bland College Policy Manual (see *separate booklet*) supersede and replace all previous Richard Bland College policies on the same subjects, and to the extent there is a conflict between the policies in the Richard Bland College Policy Manual and other, non-superseded policies, the terms of the Richard Bland College Policy Manual control; and

**BE IT FURTHER RESOLVED**, That the Board authorizes the President of Richard Bland College to interpret, amend, supplement, and edit the Richard Bland College Policy Manual, and to delegate this authority as appropriate; and

**BE IT FINALLY RESOLVED**, That the Board charges the President with the responsibility to recommend to the Board such additional College-wide policies or policy changes of significance as warrant Board approval.

RESOLUTION 1



**Richard Bland College**  
*of WILLIAM & MARY*

# **Policy Manual**

**November 9, 2015**  
**DRAFT**



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## **FOREWORD**

Welcome to Richard Bland College. As an employee, you are integral to honoring Richard Bland College's **promise to** provide an exceptional student experience and to assist students in creating their journey. We count on you as an employee, whatever your title, to work in support of **the College's** mission and vision, and to **act in accordance with the College's values and** Statement of Ethics. And as an employee, it is your responsibility to adhere to all policies sets forth in the Policy Manual.

The Policy Manual is maintained by the Director of Human Resources and managed by department heads who are responsible for ensuring compliance within their respective areas of responsibility. Department heads are also responsible for developing policy-related procedures and protocols to guide day-to-day business processes.

Recommendations for updates or policy changes should be submitted to the appropriate Director or Dean for consideration. It is the responsibility of these senior managers to continuously review and update policies to align with the **College's strategic goals**, and to comply with applicable laws and regulations.

Policy approval resides with the President of the College and the Board of Visitors.

## **I. HISTORY**

Richard Bland College was established in 1960 by the General Assembly of Virginia as a branch college of The College of William and Mary. The College was named for the Virginia statesman and champion of public rights, Richard Bland. Son and grandson of successful planters, Richard Bland was educated at The College of William and Mary. From 1742 until his death in 1776, he represented the area in which the College is now located, first in the House of Burgesses, and later, with the adoption of a state constitution, in the House of Delegates. He also served as a delegate from Virginia in both the First and Second Continental Congresses. Because of his careful study of the historical records of the Virginia colony, he was respected not only as a political leader, but also as the leading authority on Virginia's history.

It seems fitting that an institution of higher learning located in an area served for so many years by this distinguished Virginia patriot and scholar should derive its name from one whom Jefferson described "as the most learned and logical man of those who took prominent lead in public affairs."

Before the Civil War, the property on which the College is now located was a plantation owned by the Gurley family. The land was an important part of the Union-occupied territory during the 1864-1865 Siege of Petersburg, and the present campus was the scene of two battles during that campaign.

Shortly before the turn of the 20<sup>th</sup> century, the Hatcher-Seward family established a dairy and cattle farm on the former Gurley property and constructed two **farmhouses. Today these historic buildings serve as the President's residence and** the Hospitality House. In the early 1900s, Sam Harris, an engineer, designed and oversaw the planting of more than 500 pecan trees, which today constitute **Virginia's oldest and largest pecan grove and are a defining feature of the campus.** During World War I, the farm was used as a work camp for about twenty conscientious objectors. In 1932, the Commonwealth of Virginia authorized Central State Hospital to purchase the land for use as the Petersburg Training School and Hospital for African-American Youth. That institution was moved in 1959, and a portion of the land—still owned by the Commonwealth—became the site of Richard Bland College.

Under the guidance of Colonel (Ret.) James M. Carson, the former hospital and training facility was transformed into Richard Bland College, and classes were held beginning in 1961. In the late 1960s, Ernst Hall (named for a local business leader influential in the establishment of the college) was added to the original campus. The Student Center/Library building and a gymnasium were constructed in the early 1970s, and with the core of the campus established, Colonel Carson retired as the founding President of the College in 1973.

From 1973 through 1975, Dr. Cornelius Laban, Professor of Biology, Emeritus, served as the Acting President of Richard Bland College.

In 1975, Dr. Clarence Maze succeeded Colonel Carson as Richard Bland College's second President. During his tenure, Dr. Maze designed and built a water garden that was inspired by Monet's garden at Giverny in addition to expanding the College's academic programs and international travel-study offerings. In recognition of his service to the College, the renovated administration building was named Maze Hall upon his retirement in 1996.

In 1996, Dr. James B. McNeer succeeded Dr. Clarence Maze as Richard Bland College's third President. Dr. McNeer introduced a residential life program and oversaw the completion of the Residential Village in 2008. The Residential Village is comprised of two dormitories, Freedom Hall and Patriot Hall, which together originally housed 250 students. A new Science and Technology Building was added in 2010, and in recognition of his service to the College, the building was named James B. McNeer Hall. Dr. McNeer retired in 2012.

In 2012, Dr. Debbie L. Sydow succeeded Dr. James McNeer as Richard Bland College's fourth president. Dr. Sydow worked with College stakeholders to develop a far-reaching strategic plan that was approved by the Board of Visitors in 2013; expanded student housing; resurrected intercollegiate athletics (Statesman Men's Basketball made College history when they won the NJCAA national Championship in 2015); and centralized the Academic Quad on West Campus by repurposing the former Ernst Hall, which houses state-of-the-art social sciences and humanities classrooms and a 220-seat auditorium.

## **II. MISSION AND VISION**

**Mission:** To prepare students for university transfer through academically rigorous programs grounded in the liberal arts tradition of William & Mary and to expand access to college credentials through strategic partnerships, specialized programming, and scalable innovation.

**Vision:** As an extension of William & Mary, Richard Bland College is in the vanguard of learning-outcomes based liberal arts education for university transfer and a model for testing and applying outcomes-driven solutions in higher education.

## **III. CODE OF ETHICS OF WILLIAM & MARY – BYLAWS OF THE BOARD OF VISITORS**

Integrity is one of the core values of the College of William & Mary. Thus, we are committed to lawful and ethical behavior in all of the University's activities. At William & Mary, we insist that all members of the University community – our Board members, employees, students, and volunteers – comply with all laws, regulations, policies and ethical norms applicable to them. More generally, we are to be honest, fair, and trustworthy ourselves and to take care that other members of the University community are also.

We, as members of the William & Mary community, will:

1. Obey the laws, regulations, and policies applicable to our university activities.
2. Protect and preserve university resources and ensure their proper use.
3. Avoid both conflicts of interest and the appearance of such conflicts.
4. Safeguard confidential information.
5. Make procurement decisions impartially and objectively.
6. Maintain effective internal controls to safeguard the regularity and integrity of our activities.
7. Treat other people with dignity and respect, ensuring there is no discrimination or harassment at William & Mary.
8. Report any illegal or unethical action that comes to our attention, so the University can investigate and take corrective steps.

## **IV. STRATEGIC PLAN – RBC-19**

### **PROGRAMS AND DELIVERY**

Be optimally responsive to documented market demand by: (1) modifying existing and creating new curricula to provide the right and best portfolio of academic program offerings; (2) establishing the Center for Strategic Initiatives that delivers education solutions in response to market demand; and (3) selectively serving as a beta site for innovative solutions in higher education instruction, academic support and management; and (4) delivering courses and programs at times, locations, and in modalities that optimize resources and accommodate student schedules and preferences.

### **ENROLLMENT**

Achieve an enrollment target of 2,000 students / 1,500 FTES by: (1) aligning enrollment-related policies, practices and services with the mission, vision, brand and strategic enrollment management (SEM) goals; (2) facilitating and inspiring learning through proven and innovative teaching and support methodologies; (3) designing and implementing a research-based, comprehensive and creative first-year learning experience; and (4) improving retention, graduation and transfer rates.

### **RESOURCES AND OPERATIONS**

Establish and maintain a high performance organization and to ensure financial and environmental sustainability by: (1) developing and implementing financial and sustainability master plans; (2) collecting, analyzing, disseminating, and utilizing pertinent performance-related information to drive quality and continuous improvement; (3) developing and implementing revenue enhancement plans; and (4) deploying financial, physical, IT and human resources in direct support of the mission, vision and strategic goals.

## **V. ACCREDITATION**

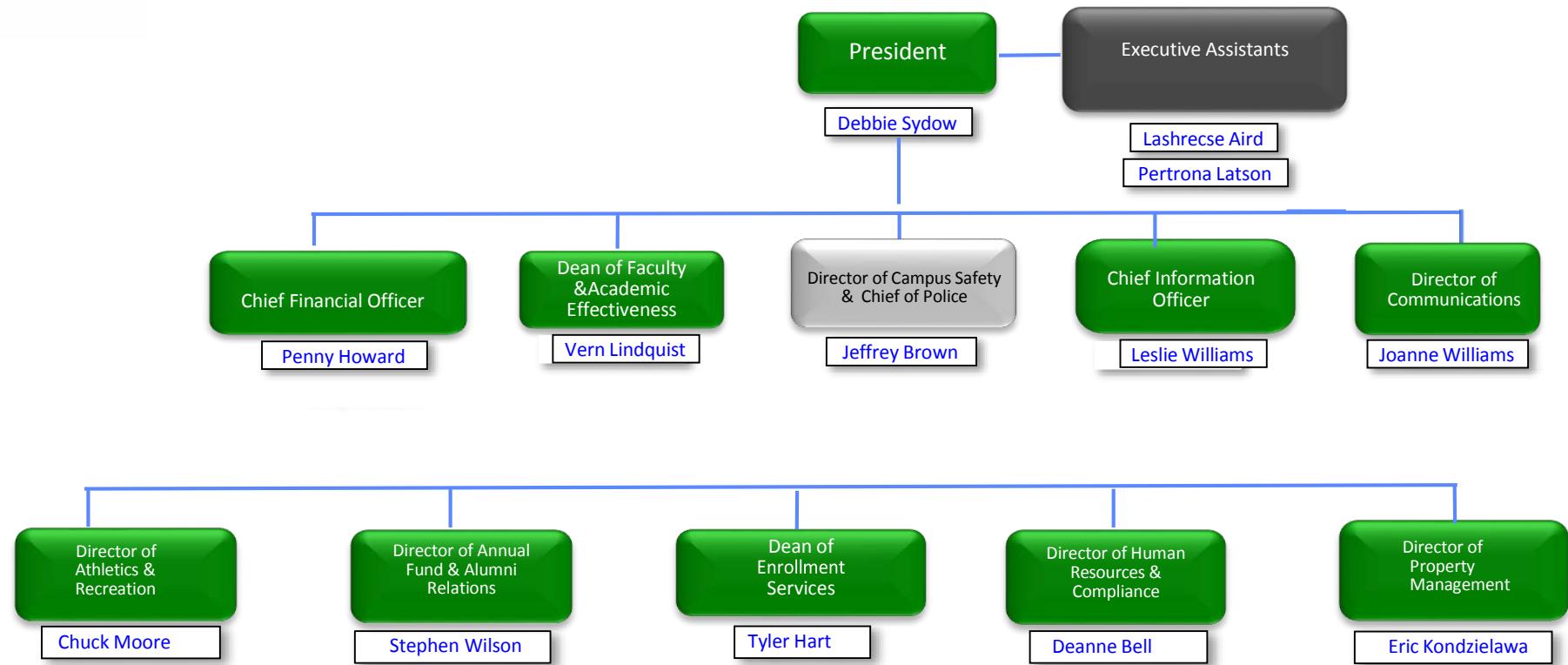
Richard Bland College is accredited by the Commission on Colleges of the Southern Association of Colleges and Schools to award the Associate Degree. Contact the Commission on Colleges at 1866 Southern Lane, Decatur, Georgia 30033-4097 or call 404-679-4500 for questions about the accreditation of Richard Bland College of William & Mary. In order to comply with the requirements for integrity and accuracy in reporting in its relationships with the Commission, the president must review and ensure the accuracy and integrity of materials submitted by the institution, such as the Compliance Certification and Quality Enhancement Plan. In addition, an institution shall meet the following expectations:

1. Ensure that all documents submitted to the Commission are candid and provide all pertinent information, whether complimentary or otherwise. With due regard for the rights of individual privacy, every institution applying for candidacy, extension of candidacy, accreditation, or reaffirmation of accreditation, as well as every candidate and accredited institution, provide the Commission with access to all parts of its operations, and with complete and accurate information about the **institution's affairs, including reports of other accrediting, licensing, and auditing agencies;**
2. Respond in a timely manner to requests by the Commission for submission of dues, fees, reports, or other information;
3. Ensure that other information submitted to the Commission (such as that provided in the annual institutional profile, institutional responses to visiting committee reports, and monitoring reports) is complete, accurate, and current;
4. Cooperate with the Commission in preparation for visits, receive visiting **committees in a spirit of collegiality, and comply with the Commission's requests for acceptable reports and self-analyses;**
5. Report substantive changes, including the initiation of new programs or sites outside the region, or new sites within the region in accordance with the Commission policy on substantive change;
6. Report accurately to the public its status and relationship with the Commission;
7. Provide counsel and advice to the Commission and agree to have its faculty and administrators serve, within reason, on visiting teams and on Commission committees, and
8. Provide the Commission or its representatives with information requested and maintain an openness and cooperation during evaluations, enabling evaluators to perform their duties with maximum efficiency and effectiveness.

## VI. Governance



### Richard Bland College of William & Mary's Organizational Chart



## **A. BOARD OF VISITORS**

The Board of Visitors is the governing authority of the College of William and Mary, including the Virginia Institute of Marine Science and Richard Bland College. In executing its duties, the Board will be guided by the laws and policies of the Commonwealth of Virginia. It will strive to preserve the ideals and traditions of the institutions under its jurisdiction, including the student-administered Honor System that originated in the earliest years of the College of William and Mary.

As a public entity, the Board is transparent in its actions to the extent required by law. In addition, in 2009 the Board adopted Codes of Ethics for the College of William and Mary, the Virginia Institute of Marine Science, and for Richard Bland College. Through these codes, the Board affirms its expectations of: (1) compliance with applicable laws, regulations, and policies; (2) avoidance of both conflicts of interests and the appearance of such conflicts; (3) the protection and proper use of institution resources; (4) the safeguarding of confidential information, and (5) the treatment of all people with dignity and respect, free from unlawful discrimination or harassment.

From its membership the Board elects a Rector of the College, a Vice-Rector of the College, and a Secretary of the Board. The Board appoints Presidents for both the College of William and Mary and Richard Bland College.

The terms of office of each non-voting, advisory representative (including the Richard Bland College Faculty and Student representative to the Board of Visitors who is nominated by the RBC President) shall begin on the day following Commencement at each institution and will extend through the **following year's** Commencement. Each non-voting, advisory representative will sit with the Board of Visitors during the open sessions of those committee meetings and full meetings of the Board which deal with matters pertaining to the College of William and Mary or Richard Bland College, respectively. In the event a student or faculty representative is not able to complete the term, the Rector, acting in concert with the appropriate institution's President, will appoint a replacement.

## **Richard Bland College Committee**

The Richard Bland College Committee shall be composed of no fewer than five Board members. It shall consider and make recommendations concerning the financial and academic affairs of Richard Bland College, review the submission and approval of any and all budgets and the administration of the academic and financial policies and procedures of Richard Bland College. The Committee shall serve as the Board contact with faculty and student liaison committees and make recommendations on resolutions submitted by Richard Bland College for consideration by the Board of Visitors. The non-voting, advisory student and faculty representatives from Richard Bland College shall also serve as members of this Committee.

## **B. PRESIDENT OF RICHARD BLAND COLLEGE**

The President of Richard Bland College, while remaining responsible for the overall administration of the College, shall be assisted in the performance of duties by a chief academic officer, a chief financial officer, or such other senior administrators

as the President deems necessary or appropriate. The President shall set forth the authority and responsibilities of such offices, subject to the approval of the Board of Visitors.

The President shall have the authority to further delegate such authority as delegated to the President; such delegation must be consistent with applicable law and regulations, and subject to guidelines for the exercise thereof.

[Excerpts of *By-laws as amended by the W&M Board of Visitors on February 6, 2015*]

**Policy A.1.****Policy Name: Statement of Rights and Responsibilities to Preserve****Citizenship****Responsibility for Maintenance: Chief Human Resource Officer****I. Policy Statement**

Each member of the College community enjoys all rights of citizenship and has a responsibility to fulfill the obligations incumbent on all citizens. Additionally, there are special rights and responsibilities inherent in membership in an academic society.

**II. Reason for Policy**

The full enjoyment of rights guaranteed to every citizen cannot be achieved unless certain concurrent responsibilities are accepted. Members of the college community (students, faculty, and administrators) have an obligation, therefore, to fulfill the responsibilities incumbent on all citizens as well as the responsibilities inherent in their particular roles within the academic community.

**III. Applicability of the Policy**

All College students, faculty and administrators should abide by this policy.

**IV. Related Documents**

Richard Bland College of William & Mary Student Handbook

**V. Contacts**

Policy Name	Office	Title	Telephone Number	Email
<b>Rights, Responsibilities, and Immunities</b>	Human Resources and Compliance	Director of Human Resources and Compliance	(804)862-6100 ext 6208	dbell@rbc.edu

**VI. Definitions**

**Responsibility to Respect the Rights of Others:** Each member of the College community has a responsibility, based upon the special mission of an institution of higher education, to respect the rights of others with a community focus on establishing and preserving an optimal environment for educating students and supporting their success.

**The Responsibility to Maintain High Standards:** Members of the College community have a responsibility to maintain the highest standards in the performance of their duties and to respect the aforesaid rights of their associates.

**VII. Procedures**

- A. Responsibility to Respect the Rights of Others:
  - a. The right of the student to be evaluated entirely on the basis of academic performance and to discuss freely, inquire, and express

opinions inside the classroom. The student has a responsibility to maintain standards of academic performance as set by the College and his/her professors, provided, however, that the student shall have means for redress against arbitrary, unreasonable, or prejudicial standards of evaluation.

- b. The right to pursue normal academic and administrative activities, including the freedom of movement in the performance of such activities.
- c. The right to hear and study unpopular and controversial views on intellectual and public issues.
- d. The right of the student to expect that information about his/her views, beliefs and political associations which an instructor acquires in the course of his/her work as a teacher, advisor or counselor of the student be held in confidence to the extent permitted by law.

## **Policy A.2.**

**Policy Name: Freedom of Information Act Policy (FOIA)**

**Responsibility for Maintenance: Chief Human Resource Officer**

### **I. Policy Statement**

Richard Bland College acknowledges the rights of requesters and the responsibility of the College under the Virginia Freedom of Information Act.

### **II. Reason for Policy**

Richard Bland College will be in full compliance with the Virginia Freedom of Information Act. The purpose of FOIA is to promote an increased awareness by all persons of governmental activities. In furthering this policy, FOIA requires the law to be interpreted liberally, in favor of access, and that any exemption allowing public records to be withheld must be interpreted narrowly.

### **III. Applicability of the Policy**

This policy is to be understood and applied **by the College's FOIA Officer**. This policy applies to any public records held by Richard Bland College.

### **IV. Related Documents**

<http://foiacouncil.dls.virginia.gov/2014Law.pdf> Copy of Virginia State Law, Title 2.2 Chapter 37

### **V. Contacts**

<b>Policy Name</b>	<b>Office</b>	<b>Title</b>	<b>Telephone Number</b>	<b>Email</b>
<b>FOIA Policy</b>	Human Resources and Compliance	FOIA Officer	(804)862-6100 ext 6208	dbell@rbc.edu

### **VI. Definitions**

Public record: A public record is any writing or recording – regardless of whether it is a paper record, an electronic file, an audio or video recording or any other format – that is prepared or owned by, or in the possession of a public body or its officers, employees or agents in the transaction of public business. All public records are presumed to be open, and may only be withheld if a specific, statutory exemption applies.

Requestor: Those who are entitled to inspection and copying of records under FOIA are limited to citizens of the Commonwealth, representatives of newspapers and magazines with circulation in the Commonwealth, and representatives of radio and television stations broadcasting in or into the Commonwealth.

Rights of Requestors:

- to request to inspect or receive copies of public records, or both;
- to request that any charges for the requested records be estimated in advance, and

- If a requestor believes that the requestor's FOIA rights have been violated, the requestor may file a petition in district or circuit court to compel compliance with FOIA.

## **VII. Procedures**

The requestor may request records by U.S. Mail, fax, e-mail, in person or over the phone. FOIA does not require that a request be in writing, nor does it need to specifically state that the request is made under FOIA.

- A request must identify the records sought with "reasonable specificity." This is a common-sense standard. It does not refer to or limit the volume or number of records being requested; instead, it requires that the requestor be specific enough so that the College can identify and locate the records sought.
- A request must ask for existing records or documents. FOIA provides the right to inspect or copy records; it does not apply to compel answers to general questions about the work of Richard Bland College, nor does it require Richard Bland College to create a record that does not exist.
- The requestor may choose to receive electronic records in any format used by Richard Bland College in the regular course of business.

For example, if the requestor seeks records maintained in an Excel database, s/he may elect to receive those records electronically, via e-mail or on a computer disk, or to receive a printed copy of those records.

- If we have questions, staff may attempt to clarify with the requestor the type of records sought, or attempt to reach a reasonable agreement about a response to a large request. Making a FOIA request is not an adversarial process, but we may need to discuss a request with a requestor to ensure that we understand what records are sought.

FOIA requests should be directed to Deanne N. Bell:  
Richard Bland College  
8311 Halifax Road, Petersburg, VA 23805  
804 862 6100 X6208 [dbell@rbctech.edu](mailto:dbell@rbctech.edu)

Richard Bland College must respond to a request within five working days of receiving it. "Day One" is considered the day after the request is received. The five-day period does not include weekends or holidays.

The reason behind a request for public records from Richard Bland College is irrelevant, and we cannot ask why a requestor wants the records before we respond to the request. FOIA does, however, allow Richard Bland College to ask the requestor to provide a name and legal address.

FOIA requires that Richard Bland College make one of the following responses to a request within the five-day time period:

1. We provide the requestor with the records requested in their entirety.
2. We withhold all of the records requested, because all of the records are subject to a specific statutory exemption. If all of the records are being withheld, we must send the requestor a response in writing. That writing must identify the volume and subject matter of the records being withheld, and state the specific section of the Code of Virginia that allows us to withhold the records.
3. We provide some of the records that have been requested, but withhold other records. We cannot withhold an entire record if only a portion of it is subject to an exemption. In that instance, we may redact the portion of the record that may be withheld, and must provide the requestor with the remainder of the record. We must provide the requestor with a written response stating the specific section of the Code of Virginia that allows portions of the requested records to be withheld.
4. If it is practically impossible for Richard Bland College to respond to the request within the five-day period, we must state this in writing, explaining the conditions that make the response impossible. This will allow us seven additional working days to respond to the request, giving Richard Bland College a total of 12 working days to respond to your request.

If a requestor makes a request for a very large number of records, and we cannot provide the records within 12 days without disrupting our other organizational responsibilities, we may petition the court for additional time to respond to the request. However, FOIA requires that we make a reasonable effort to reach an agreement with the requestor concerning the production of the records before we go to court to ask for more time.

A requestor may have to pay for the records sought from Richard Bland College. FOIA allows us to charge for the actual costs of responding to FOIA requests. This would include items like staff time spent searching for the requested records, copying costs, or any other costs directly related to supplying the requested records. It cannot include general overhead costs.

If we estimate that it will cost more than \$200 to respond to a request, we may require the requestor to pay a deposit, not to exceed the amount of the estimate, before proceeding with that request. The five days that we have to respond to the request does not include the time between when we ask for a deposit and when the requestor responds.

The requestor may request that we estimate in advance the charges for supplying the records requested. This estimate allows the requestor the opportunity to modify the request in an attempt to lower the estimated costs.

If a particular requestor owes the College money from a previous FOIA request that has remained unpaid for more than 30 days, Richard Bland College may require

payment of the past-due bill before it will respond to a new FOIA request from that same requestor.

The Code of Virginia allows any public body to withhold certain records from public disclosure. Richard Bland College commonly withholds records subject to the following exemptions:

- Personnel records (2.2-3705.1 (1) of the Code of Virginia)
- Records subject to attorney-client privilege (§ 2.2-3705.1 (2)) or attorney work product (2.2-3705.1 (3))
- Vendor proprietary information (2.2-3705.1 (6))
- Records relating to the negotiation and award of a contract, prior to a contract being awarded (2.2-3705.1 (12))
- Scholastic reference (2.2-3705.4 (1))

### **Policy A.3.**

#### **Policy Name: Smoking Regulations**

#### **Responsibility for Maintenance: Director of Property Management**

### **I. Policy Statement**

Richard Bland College will adhere to the Virginia Executive Order 41(2006) and the associated guidance issued by the Virginia Secretary of Administration that bans smoking in public higher education facilities and state vehicles, and establish limitations on outdoor smoking.

### **II. Reason for Policy**

As an institution of higher education, the College has a responsibility to its students, faculty, staff, and members of the surrounding communities to provide an atmosphere in which healthy living is promoted. The College seeks to promote the health of the college community through this policy.

### **III. Applicability of the Policy**

This policy applies to:

1. All College facilities
2. All vehicles owned, leased or rented by the College
3. All other property owned, leased or controlled by the College, such as the campus grounds, sidewalks, malls, etc..
4. All members of the campus community as well as contractors

### **IV. Related Documents**

Code of Virginia 15.2-2824 Clean Air Act

### **V. Contacts**

<b>Policy Name</b>	<b>Office</b>	<b>Title</b>	<b>Telephone Number</b>	<b>Email</b>
<b>Smoking Policy</b>	Property Management	Director of Property Management	(804) 862-6186	ekondzielawa@rbc.edu

### **VI. Definitions**

**Smoking:** The carrying or holding of any lighted pipe, cigar, cigarette, or smoking equipment of any kind or the lighting or inhaling or exhaling of smoke from a pipe, cigar, or cigarette of any kind.

**College Facilities:** All buildings owned, rented, or leased by the college including residence halls, leased housing, and student activity buildings.

### **VII. Procedures**

The College seeks to promote the health of the college community through the following regulations pertaining to smoking.

1. All classrooms, hallways, and other inside areas of all buildings on campus shall remain smoke free.

2. Additionally, the [Virginia Indoor Clean Air Act](#) prohibits smoking in (a) elevators; (b) public school buses; (c) the interior of any public elementary, intermediate, and secondary school; (d) indoor service lines and cashier lines; (e) public restrooms in any building owned or leased by the Commonwealth or any agency thereof; (f) the interior of a child day center. Violators will be subject to monetary penalties.
3. Smoking is prohibited in all college owned or rented vehicles.
4. Smoking within 25 ft. of a campus building is prohibited.

In addition to the enforcement mechanism set forth in the Virginia Indoor Clean Air Act, cases involving students who have violated the Policy will be handled through the Student Disciplinary Policy outlined in the ***Student Handbook***.

## **Policy A.4.**

### **Policy Name: Travel Authorization and Reimbursement**

### **Responsibility for Maintenance: Chief Financial Officer**

#### **I. Policy Statement**

All travel authorization and reimbursement shall be managed in accordance with the procedures set forth in this policy.

#### **II. Reason for Policy**

This institution follows The Commonwealth Accounting Policies and Procedures (CAPP) Manual that is written and published by the Department of Accounts (DOA) to provide authoritative guidance on the application of accounting policies, procedures and systems pursuant to Section 2.1-196.1 of the Code of Virginia. This policy ensures compliance with the CAPP manual in regards to travel authorization and reimbursement.

#### **III. Applicability of the Policy**

This policy governs all employee business-related travel and cost reimbursements. This also applies to reimbursable expense of contracted work where the contract stipulates the payment of travel expenses.

#### **IV. Related Documents / Web-based Policies**

[http://www.doa.virginia.gov/Admin\\_Services/CAPP/CAPP\\_Topics/20355.pdf](http://www.doa.virginia.gov/Admin_Services/CAPP/CAPP_Topics/20355.pdf)

<http://www.rbc.edu/administrative-offices/office-of-finance-and-administration/finance-forms/>

#### **V. Contacts**

Policy Name	Office	Title	Telephone Number	Email
<b>Travel Authorization and Reimbursement</b>	Business Office	Chief Financial Officer	(804) 862-8560	phoward@rbc.edu

#### **VI. Definitions**

Business Travel Expenses Reimbursement: permitted for individuals traveling on Official State business for reasonable and necessary expenses incurred

#### **VII. Procedures**

This policy describes general guidelines for authorization and reimbursement of collegiate business travel.

Full travel policies, procedures, and forms are maintained at all times at:

<http://www.rbc.edu/administrative-offices/office-of-finance-and-administration/resources/> and <http://www.rbc.edu/administrative-offices/office-of-finance-and-administration/finance-forms/>

Business Travel with estimated expenses greater than \$1,000, or out-of-state, are pre-approved by the CEO or an authorized designee.

Business Travel with estimated expenses greater than \$100 are pre-approved by the budget manager of the organization where those expenses will reside.

Eligible expenses are processed through one of several processes - the Procurement process, the Central BOA Visa Card, the BOA Visa IL Card, or out-of-pocket reimbursement.

A travel advance may be requested. These requests are reviewed and approved by the Chief Financial Officer.

Reimbursement of out-of-pocket business travel expenses incurred occurs through the travel expense reimbursement voucher process. The submitting employee completes the form along with the additional documentation, the documentation is then reviewed and approved by the organization budget manager and routed to the Finance Office, and reimbursement is processed through accounts payable.

For budgetary and quality control purposes, these procedures ensure that all business travel expenses always have at least one level of review (often multiple levels).

## **Policy A.5.**

### **Policy Name: Use of State-owned Vehicles**

### **Responsibility of Maintenance: Property Management**

#### **I. Policy Statement**

Richard Bland College state-owned vehicle use policy mandates compliance with the Department of General Services state-owned vehicle policies.

#### **II. Reason for Policy**

The purpose of this policy is to establish requirements and procedures for ground transportation.

#### **III. Applicability of Policy**

This policy applies to the use of any use of college vehicles by employees of the institution for college business or college-related activities.

#### **IV. Related Documents**

DGS Office of Fleet Management Services Policies and Procedures Manual

<http://www.dgs.virginia.gov/LinkClick.aspx?fileticket=Wc0oOVxAxIA%3d&tabid=173>

[Sustainability Plan Policy E.4](#)

#### **V. Contacts**

Policy Name	Office	Title	Telephone Number	Email
<b>Use of State Owned Vehicles</b>	Property Management	Property Management	(804) 862-6186	facilities@rbc.edu

#### **VI. Definitions**

**College Business:** Actions undertaken by College employees (including faculty and student employees) or volunteers acting within the scope of their employment or authorization. Examples of College business include running errands for a department, attending a meeting off-campus, and advisory service trips (in accordance with RBC's mission). Examples of travel that does not constitute College business include commuting to work or driving to voluntary social events hosted by the College.

**College-Related Activities:** Those events, trips and activities that are (1) organized by College faculty or staff and required or mandatory elements of the related course, activity, or program, which may include travel for academic research; (2) organized by a recognized student organization and formally approved by a College official; (3) field work as part of sponsored research; or (4) directly funded by the College.

## **VII. Procedures**

State employees of Richard Bland College must contact Fleet Manager through agency **calendar invite** (rketcham@rbc.edu) to schedule for usage of all vehicles unless state vehicles have been assigned specifically to one individual person.

**Exception:** Employees must obtain written permission by their immediate supervisor to allow any vehicle to stay within their assigned building parking lot.

1. Vehicles must be picked-up **one day prior** to use between the hours of 3 p.m. and 4 p.m. **only**.
2. Vehicles will be fueled up with gas prior to use by the **Facilities Department only.**
3. Only facilities personnel will have access to fuel pumps for ALL vehicles whether assigned to an individual or not.
4. An inspection of all vehicles will be made **before and after** each use by the employee and facilities personnel to ensure the vehicle is returned in the same condition as when signed out.
5. Vehicles will be signed out by the employee along with logging the beginning mileage and ending mileage after each use.
6. Upon return of vehicles any warning lights, signs of problems or concerns will be reported.
7. Vehicles shall be clean of all trash and or debris when returned.

## **Policy A.6.**

### **Policy Name: Policy Maintenance, Availability, Amendments and Renewal**

### **Responsibility for Maintenance: Chief Human Resource Officer**

#### **I. Policy Statement**

Richard Bland College formally approves, promulgates in a consistent format, and centrally maintains all official College policies. Personnel responsible for creating, updating, and distributing College policies must comply with the conditions and procedures that are outlined in this policy, which explains the standardized policy format, and outlines the procedures for formulating, approving, issuing, and amending policies.

#### **II. Reason for Policy**

Richard Bland College requires regular maintenance of policies to ensure ongoing compliance with applicable laws, to facilitate optimal efficiency and effectiveness in fulfillment of mission and goals, and to promote a common understanding of the fundamental framework that guides our actions.

#### **III. Applicability of the Policy**

This policy applies to all policies included in the official Richard Bland College Policy Manual and available on the Richard Bland College website.

#### **IV. Related Documents**

None

#### **V. Contacts**

<b>Policy Name</b>	<b>Office</b>	<b>Title</b>	<b>Telephone Number</b>	<b>Email</b>
<b>Policy Maintenance</b>	Human Resources and Compliance	Director of Human Resources and Compliance	(804) 862-6100 ext 6208	dbell@rbc.edu

#### **VI. Definitions**

**Policy:** A stated plan or course of action intended to influence and determine decisions, actions, and other matters in order to ensure full compliance of laws and ethical practices of the institution.

#### **VII. Procedures**

The Director of Human Resources and Compliance will send out the inventory of current policies at the beginning of the fiscal year, but no later than September 1<sup>st</sup>. Each executive sponsor of the policy will then partner with legal counsel to determine if any updates to laws or regulations have impacted the policy. A review of requested policy updates will be held in January.

## **Policy A.7.**

### **Policy Name: Records Retention**

### **Responsibility for Maintenance: Chief Financial Officer**

#### **I. Policy Statement**

All College documents shall be managed in accordance with the procedures set forth in this policy.

Public records are to be adequately protected and maintained, and records that are no longer needed are to be discarded at the proper times in accordance with the applicable Records Retention Schedule. The Chief Financial Officer is in charge of the administration of these policies and schedules.

#### **II. Reason for Policy**

Documents must be maintained in accordance with the applicable Records Retention Schedule.

#### **III. Applicability of the Policy**

This policy applies to all College employees.

#### **IV. Related Documents / Web-based Policies**

Library of Virginia general schedules provide detailed records retention guidance, including scheduled retention period, for state agencies –

GS-101 Administrative Records

[http://www.lva.virginia.gov/agencies/records/sched\\_state/GS-101.pdf](http://www.lva.virginia.gov/agencies/records/sched_state/GS-101.pdf)

GS-102 Fiscal Records:

[http://www.lva.virginia.gov/agencies/records/sched\\_state/GS-102.pdf](http://www.lva.virginia.gov/agencies/records/sched_state/GS-102.pdf)

GS-103 Personnel Records:

[http://www.lva.virginia.gov/agencies/records/sched\\_state/GS-103.pdf](http://www.lva.virginia.gov/agencies/records/sched_state/GS-103.pdf)

GS-108 Fire, Safety, and Security:

[http://www.lva.virginia.gov/agencies/records/sched\\_state/GS-108.pdf](http://www.lva.virginia.gov/agencies/records/sched_state/GS-108.pdf)

GS-111 College and University Student Records:

[http://www.lva.virginia.gov/agencies/records/sched\\_state/GS-111.pdf](http://www.lva.virginia.gov/agencies/records/sched_state/GS-111.pdf)

GS-113 Information Technology:

[http://www.lva.virginia.gov/agencies/records/sched\\_state/GS-113.pdf](http://www.lva.virginia.gov/agencies/records/sched_state/GS-113.pdf)

S:\Controller Files\Policies and Procedures

#### **V. Contacts**

<b>Subject</b>	<b>Office</b>	<b>Title</b>	<b>Telephone Number</b>	<b>Email</b>
<b>Records Retention Requirements</b>	Business Office	Chief Financial Officer	(804) 862-8560	phoward@rcb.edu

## **VI. Definitions**

"Public record" or "record" means recorded information that documents a transaction or activity by or with any College employee or contractor. Regardless of physical form or characteristic, the recorded information is a public record if it is produced, collected, received or retained in pursuance of law or in connection with the transaction of public business. Electronic records, including email, are public records.

Records Retention Schedule – Policy that depicts how long public records items must be kept, as well as the disposal guidelines for these records items.

## **VII. Procedures**

Collegiate documentation is maintained in administrative offices and length of retention is dependent on the scope of the document. Document overflow storage resides in the basement of the HSS building.

Assurance that departmental documents are retained and maintained appropriately is tasked to the manager with responsibility of that functional area. Documents containing proprietary information are discarded through shredding. As an environmentally-friendly agency, documents that do not contain proprietary information are recycled.

The destruction of records once the retention time for the type of documentation has lapsed is managed securely through an annual bulk review and shredding process. This annual bulk disposal process is overseen by the Chief Financial Officer.

## **Policy B.1.**

**Policy Name: General Personnel Information**

**Responsibility for Maintenance: Director of Human Resources and Compliance**

### **I. Policy Statement**

#### **A. PAY DATES**

1. Pay Dates – All full-time employees are paid twice a month. Payday is usually the first and sixteenth of each month. When the first or sixteenth is a Saturday or Sunday, payday is normally the previous Friday. Payday at the end of September, December, and March is the last working day of the month.
2. Direct Deposit – Pay will be deposited into an account at the financial institution (bank, credit union, savings and loan association, etc.) of your choice. Information and applications are available from the Office of Human Resources. All new employees are required to use direct deposit.
3. Holidays – Eleven paid holidays are authorized by the State. The College observes the following: Independence Day, Labor Day, Martin Luther King Day, Memorial Day, Thanksgiving Day and the Friday following, and six days **during Christmas, including New Year's Day.**

#### **B. MANDATORY PAYROLL DEDUCTIONS**

1. Federal and State Income Taxes are withheld in accordance with a set formula based on the number of exemptions claimed. For Federal and State, employees may request additional withholding or claim fewer exemptions on forms available from the Office of Human Resources.
2. Social Security is withheld in accordance with requirements Social Security Administration.

#### **C. BENEFITS PROVIDED BY THE COMMONWEALTH OF VIRGINIA/RBC**

1. The Virginia Retirement System (VRS) is a State-funded retirement plan for all full-time personnel designed to supplement the retirement, disability, health, and survivor benefits provided by Social Security. **The State pays the employer's as well as the employee's share of the cost.**

In lieu of VRS, full-time faculty and administrators may substitute retirement plans such as TIAA-CREF, and Fidelity. **The State pays the employer's as well as the employee's share of the cost.**

2. Group Life Insurance is a mandatory State-funded plan for all full-time personnel at no cost to the employee. The face value (death benefit) is equal to the annual gross salary rounded to the next highest thousand dollars, then

doubled. For accidental death, the basic death benefit is doubled again. Loss of one or more limbs or eyesight is covered. No medical examination is required.

3. Long-Term Disability Insurance is provided to all full-time faculty and administrators at Richard Bland College. The College pays 60% of the premium and the employee pays 40%. No medical examination is required. Full-time faculty and Administrators can waive this benefit.

#### D. OPTIONAL PAYROLL DEDUCTIONS

1. Medical Insurance – All full-time personnel may enroll a spouse and dependents under age nineteen (until age twenty-three if unmarried, full-time students) or apply for employee-only coverage.

2. Flexible Benefits Program – Premium Conversion allows the pre-tax deduction of the health insurance premium; and Reimbursement Accounts allow the pre-tax deduction of amounts towards predictable medical, dental, and vision care expenses not covered by the health benefits plan and day care expenses for dependents.

3. Cancer Insurance provides medical benefits for cancer victims over and above those provided by other hospitalization or medical plans. The rates vary according to the plan selected.

4. Optional Life Insurance – An active, insured employee is eligible for optional life insurance for natural and accidental death and for dismemberment up to four times his/her salary, not to exceed \$500,000.

5. Credit Union Deductions – Employees are eligible to participate in the Virginia Credit Union. Deposits or loan payments may be made through payroll deduction.

6. United States Saving Bonds may be purchased by payroll deduction through the Office of Human Resources.

**7. Supplemental Retirement Annuities (SRA's/403(b)'s) and Tax-Sheltered Annuities** through payroll deduction are funded with pre-tax dollars. Contracts are available with TIAA-CREF, The Equitable, and additional choices.

8. The Deferred Compensation Plan (457b) is a contributory Retirement plan. Faculty participate in the plan through voluntary salary deferral. Contributions and earnings, if any, are tax-deferred until withdrawn, usually at retirement. The plan is administered by the State.

9. Group Legal Care Plan provides unlimited advice and consultations for covered services.

10. The Commonwealth of Virginia Campaign (United Way) is the only solicitation approved for all employees. The campaign is scheduled each October, and payroll deduction is provided.

11. The Richard Bland College Foundation supports a number of student scholarships. Employees may elect to contribute through payroll deduction.

## **II. Reason for Policy**

The purpose of this policy is to provide information regarding employee benefits in one consolidated place.

## **III. Applicability of the Policy**

This policy describes benefits available to employees. Whether some or all of these benefits are available to a particular category of employee will depend upon their employment classification. See the Office of Human Resources for specific applicable information.

## **IV. Related Documents**

### **V. Contacts**

<b>Policy Name</b>	<b>Office</b>	<b>Title</b>	<b>Telephone Number</b>	<b>Email</b>
<b>General Personnel Information</b>	Human Resources and Compliance	Director of Human Resources and Compliance	(804) 862-6100 ext 6208	dbell@rbc.edu

## **VI. Definitions**

## **VII. Procedures**

Information, choices, and application forms are available from the Office of Human Resources.

**Policy B.2.****Policy Name: Faculty Handbook****Responsibility for Maintenance: Dean of Faculty****I. Policy Statement**

Policy and procedural matters exclusively concerning teaching faculty at Richard Bland College will be found in the Faculty Handbook.

**II. Reason for Policy**

The Faculty Handbook sets forth the College's expectations of its teaching faculty and codifies procedures that apply to instructional staff and related curricular matters.

**III. Applicability of the Policy**

All full- and part-time teaching faculty are covered by the Faculty Handbook

**IV. Related Documents**

Faculty Handbook

**V. Contacts**

Policy Name	Office	Title	Telephone Number	Email
<b>Alterations or Amendments to Handbook</b>	Academics	Dean of Faculty	(804) 862-6491	vllindquist@rbc.edu

**VI. Definitions**

None

**VII. Procedures**

Amendments to the Faculty Handbook can be made via the procedure as outlined in that document.

**Policy B.3.****Policy Name: Equal Employment Opportunity****Responsibility for Maintenance: Chief Human Resource Officer****I. Policy Statement**

Richard Bland College is an equal opportunity/affirmative action employer, which encourages applications from, qualifies females, minority groups, veterans, and disabled individuals. It is the policy of Richard Bland College to fully comply with the equal opportunity provisions of all applicable regulations and not to discriminate against any employee or applicant for employment because of gender, disability, race, color, age, religion, national origin or veteran status in areas such as recruitment, selections, training, promotion/demotion/transfer, layoffs, terminations, rates of pay, or any other forms of compensation or benefits.

**II. Reason for Policy**

Richard Bland College complies with all federal and state equal employment opportunity laws.

**III. Applicability of the Policy**

This policy applies to all College employees and applicants.

**IV. Related Documents**

DHRM Policy 2.05. [http://www.dhrm.virginia.gov/docs/default-source/hrpolicy/pol2\\_05eeo.pdf?sfvrsn=2](http://www.dhrm.virginia.gov/docs/default-source/hrpolicy/pol2_05eeo.pdf?sfvrsn=2)

Discrimination, Harassment, Sexual Misconduct, and Retaliation Policy D.1.

**V. Contacts**

Policy Name	Office	Title	Telephone Number	Email
<b>Equal Employment Opportunity</b>	Human Resources and Compliance	Director of Human Resources and Compliance	(804) 862-6100 ext 6208	dbell@rbc.edu

**VI. Definitions**

EEOC: Equal Employment Opportunity Commission

**VII. Procedures**

Equal opportunity extends to all aspects of employment including but not limited to hiring, transfers, promotions, training, corrective actions, termination, working conditions, compensation, benefits, and other terms and conditions of employment. Richard Bland College complies with federal and state equal employment opportunity laws and strives to keep the workplace free from all forms of unlawful discrimination, including harassment and retaliation.

Any employee may file a discrimination claim or grievance with the Director of Human Resources and Compliance.

While employees are encouraged to seek to resolve disputes and claims of discrimination internally, current or former employees and applicants may file charges of discrimination with the [U.S. Equal Employment Opportunity Commission](#) (EEOC). The EEOC investigates employment discrimination based on race, color, religion, sex, national origin, age (40 or older) disability, or genetic information.

## **Policy B.4.**

### **Policy Name: Drug and Alcohol Policy - Employees**

### **Responsibility for Maintenance: Chief Human Resource Officer**

#### **I. Policy Statement**

No employee will report to work under the influence of alcohol or illegal drugs. In addition, the possession, use, distribution, or sale of any alcoholic beverages (with the exception of functions wherein such possession or use is authorized by the Office of the President) or illicit drugs on College property or at College activities is prohibited.

#### **II. Reason for Policy**

Richard Bland College intends to maintain a workplace free from the adverse effects of alcohol and illegal substances.

#### **III. Applicability of the Policy**

This policy applies to all employees or visitors to the College campus.

#### **IV. Related Documents**

DHRM Policy 1.05 Alcohol and Other Drug

[http://web1.dhrm.virginia.gov/itech/hrpolicy/pol1\\_05.html](http://web1.dhrm.virginia.gov/itech/hrpolicy/pol1_05.html)

#### **V. Contacts**

<b>Policy Name</b>	<b>Office</b>	<b>Title</b>	<b>Telephone Number</b>	<b>Email</b>
<b>Drug and Alcohol Policy</b>	Human Resources and Compliance	Director of Human Resources and Compliance	(804) 862-6100 ext 6208	<a href="mailto:dbell@rbctech.org">dbell@rbctech.org</a>

#### **VI. Definitions**

Alcohol: Virginia law specifically states that persons under the age of 21 may not purchase, possess, or consume any type of alcoholic beverages

Drugs: marijuana, hashish, amphetamines, LSD compounds, mescaline, psilocybin, DMT, narcotics, opiates, and other hallucinogens including Spice, K2, and synthetic marijuana, except when taken under a physician's prescription in accordance with law.

DHRM: Virginia Department of Human Resource Management

#### **VII. Procedures**

Employees are expected to notify their supervisors if they are: convicted of violating any criminal drug law, either within or outside the work place; or if they are convicted of violating any alcohol beverage control law or law that governs driving while intoxicated, based on conduct occurring in the workplace. In order to comply with federal law and state policy, the College requires that an employee notify a supervisor, in writing, of any criminal drug statute conviction no later than five (5) days after such conviction. The College must notify any federal contracting

agency within ten (10) days of having received notice that an employee engaged in the performance of such contract has had a criminal drug conviction for a violation occurring in the workplace.

Because of the nature of the work, the College may require drug testing before a final employment offer is made. Some positions may also require ongoing random drug testing and/or as-needed drug or alcohol testing.

Violation of policies related to these matters can result in serious disciplinary action, including termination. Richard Bland College will cooperate with local, state, and federal authorities in the enforcement of substance abuse statutes.

## **Policy B.5.**

**Policy Name: Americans with Disabilities Act (ADA) Policy – ADA**

**Coordinator**

**Responsibility for Maintenance: Chief Human Resource Officer**

### **I. Policy Statement**

Richard Bland College does not discriminate on the basis of a disability in the administration of its educational programs and activities, including admission and employment practices, access to, or treatment in its programs and services.

Information concerning the provisions of the Americans with Disabilities Act of 1990, and their rights provided thereunder, are available from the ADA Coordinator who arranges services for students at the College.

### **II. Reason for Policy**

The College is committed to acting in accordance with the Americans with Disabilities Act. Title II states, in part, that “no otherwise qualified disabled individual shall, solely by reason of such disability, be excluded from the participation in, be denied the benefits of, or be subjected to discrimination” in programs or activities sponsored by a public entity.

### **III. Applicability of the Policy**

All College employees, students, and applicants.

### **IV. Related Documents**

Current text of the Americans with Disabilities Act of 1990 incorporating the changes made by the [ADA Amendments Act of 2008](#)

Section 504 of the Rehabilitation Act

Richard Bland College of William & Mary Student Handbook

Discrimination, Harassment, Sexual Misconduct & Retaliation Policy D.1.

### **V. Contacts**

<b>Policy Name</b>	<b>Office</b>	<b>Title</b>	<b>Telephone Number</b>	<b>Email</b>
<b>ADA Compliance</b>	Human Resources and Compliance	Director of Human Resources and Compliance	(804) 862-6100 ext 6208	dbell@rbc.edu

### **VI. Definitions**

**ADA:** Americans with Disabilities Act

**Disability:** A physical or mental impairment that substantially limits one or more major life activities; or a record of a physical or mental impairment that substantially limited a major life activity; or an actual or perceived impairment that is not both transitory and minor.

**Physical or Mental Impairment:** Any physiological disorder or condition, cosmetic disfigurement, or anatomical loss affecting one or more body systems, or any mental or psychological disorder.

**Substantial Limitation:** An individualized assessment, construed broadly, that a person is unable or substantially limited in performing a major life activity as compared to most people in the general population.

**Major Life Activity:** May include, but is not limited to, caring for oneself, performing manual tasks, seeing, hearing, eating, sleeping, walking, standing, sitting, reading, thinking, communicating, operation of major bodily functions.

The following list includes some conditions typically considered as substantially limiting a major life activity:

Dyslexia, muscular dystrophy, multiple sclerosis, mental or emotion disorders, attention deficit disorders, cerebral palsy, epilepsy, orthopedic impairments, speech, visual, or hearing impairments.

### **Obtaining Accommodative Services**

- A. Individuals seeking accommodations or modifications should contact the ADA coordinator by appointment at [dbell@rbc.edu](mailto:dbell@rbc.edu).
- B. Then, students and faculty should submit valid and relevant documentation completed by a medical professional source, verifying the disability and need for accommodative services to the ADA Coordinator.
  - You must submit the proper documentation to the Educational Accessibility Provider before the accommodations are determined.
- C. Bring all documentation to the appointment, including the most recent psychological educational evaluation of the student and faculty and if applicable, the most recent high school IEP for evaluation. Please note the most recent IEP cannot stand alone as a request for accommodations.
- D. Students and faculty should make specific requests for accommodations. This will begin the interactive process to find an effective and reasonable accommodation. The Education Accessibility Provider may suggest alternative effective reasonable accommodations.
- E. The College may provide reasonable accommodations to students and faculty on a case-by-case basis. Only the ADA Coordinator may grant or deny a student or faculty an accommodation. Questions on implementation of an accommodation should be directed to ADA Coordinator.
- F. A document cannot be verified if it fails to identify a specific disability or verify the need for requested services. Students and faculty are responsible for submitting all documentations to the College in a timely manner.
- G. Requests for accommodation shall, whenever possible, be kept confidential in accordance with applicable university and Commonwealth policies.

## **VII. Procedures**

### **General Procedures**

- A. A complaint should be filed in writing, containing the name and address of the person filing it, and briefly describe the alleged violation of the regulations. Complaints should be addressed to the ADA Coordinator, Richard Bland College, Maze Hall, 8311 Halifax Road, Petersburg, VA 23805.
- B. A complaint should be filed within sixty (60) days after the complainant becomes aware of the alleged violation.

- C. An investigation, as may be appropriate, shall follow the filing of complaint. The investigation will be conducted by the ADA Coordinator. These rules contemplate informal but thorough investigations, affording all persons and their representatives, if any, an opportunity to submit evidence relevant to a complaint.
- D. A written determination as to the validity of the complaint and a description of the resolution, if any, shall be issued by the ADA Coordinator and a copy forwarded to the complainant no later than ten (10) business days after its filing.
- E. The ADA Coordinator shall maintain the files and records of Richard Bland College complaints.
- F. The right of a person to a prompt and equitable resolution of the complaint **filed hereunder shall not be impaired by the person's pursuit of other** remedies such as the filing of an ADA complaint with the responsible federal department or agency. Use of this grievance procedure is not a prerequisite to the pursuit of other remedies.
- G. These rules shall be construed to protect the substantive rights of interested persons to meet appropriate process standards and to assure that Richard Bland College complies with the ADA and implementing regulations.
- H. The complainant can request a reconsideration of the case in instances where he or she is dissatisfied with the resolution. The request for reconsideration should be made within ten (10) days to the Administrative Leadership team on campus.

### **Academic Accommodations and Disability Support Services**

Accommodations are to provide all students with reasonable access to education. Accommodations may not be used to fundamentally alter the nature of academic standards, or modify or adjust essential requirements of a program. Academic modifications and accommodations should not be unduly burdensome or done at the expense of the standards of the College.

Academic accommodations may include, but are not limited to the following:

#### **Classroom:**

- recorded lectures
- note-taker
- seating location
- copy of lecture notes
- type of seating (table, table and chair)
- use of computer
- interpreter
- use of a dictionary
- tutoring

#### **Additional Accommodations:**

- speller and/or calculator
- research/library assistance
- lighting

- Perkins Brailler

**Exams/quizzes/assignments:**

- separate room testing
- use of computer
- extended time
- reader/scribe
- alternate format of tests/quizzes

Faculty members are expected to arrange and to mutually agree on a time and place for the aforementioned academic adjustment.

Educational Accessibility Services

Educational Accessibility Services are designed to provide reasonable accommodations in the educational environment. These may include, but are not limited to:

- disability management/ Educational Access Plan
- assistance in compensatory academic strategies
- disability-related counseling
- referral to faculty and staff
- referrals to community agencies
- career counseling
- transfer counseling

**Preparing for Admission to Richard Bland College of William & Mary**

Your transition from high school to college is formalized through the Individual Education Plan (IEP) or other transition plans supported by the Individual Education Act (IDEA). These plans highlight your challenges along with the appropriate accommodations. Also outlined are the specific courses for you to take, high school plans and the connections with relevant agencies in the community (i.e. Vocational Rehabilitation Services) that you might find helpful.

Once you decide to apply to Richard Bland College, you should begin to think about important issues related to your (dis)abilities:

- Self-Advocacy: Self-Advocacy skills are essential to your overall success. You are encouraged to be aware of your strengths and weaknesses, and be able to explain your abilities and learning styles to individuals seeking to assist you. Self-advocacy skills include, but are not limited to the following: articulating academic needs, taking personal responsibility for your education, understanding your particular disability, and being aware of your learning style(s) or learning preference(s).
- High School Courses: Taking high school courses that are designed to prepare for college is important. If appropriate, you may wish to take computer science and/or foreign language courses while still in high school.
- Increase Knowledge of Individual Rights and ADA Regulations: Along with familiarizing yourself with the ADA regulations, you should consider joining a national organization. Several of these groups are willing to

provide you literature on ADA legislation and will assist you in developing effective academic compensatory strategies on the college level.

- Consider Internships, or Part-time jobs, or Community Service Opportunities: These experiences will help you develop skills necessary to succeed in a variety of environments.
- Understand the College Application Process: You should become familiar with the Richard Bland College's application process. You should begin your college application process as early as possible. Visit the College's admission page to obtain information regarding the application packet and deadlines.
- Get to Know Your Educational Accessibility Provider and the College's Obligations to Educational Accessibility: You are encouraged to visit the service provider before or after submitting your application for admission.
- Enroll in Summer School: Taking summer courses prior to your first semester is very beneficial academically and socially.
- Contact Your Local Vocational Rehabilitation Agency: You might benefit from this option as it offers a variety of services to eligible students with learning disabilities. Visit [this link](#) for a list of available services in Virginia.

#### Transfer Students with Disabilities

If you are transferring to Richard Bland College, you should contact the Educational Accessibility Provider at (804) 862-6208.

#### **Grievance Procedures**

Richard Bland College has adopted an internal grievance procedure providing for prompt and equitable resolution of complaints alleging any action prohibited by the U.S. Department of Justice regulations implementing Title II of the Americans with Disabilities Act. **Title II states, in part, that "no otherwise qualified disabled individual shall, solely by reason of such disability, be excluded from the participation in, be denied the benefits of, or be subjected to discrimination" in programs or activities sponsored by a public entity.**

1. You should file any complaint in writing, contain your name and address and briefly describe the alleged violation of the regulations. Complaints should be addressed to the Educational Accessibility Provider, Richard Bland College, 8311 Halifax Road, Petersburg, VA 23805 or by phone to 804-862-6100 ext. 6208.
2. A complaint should be filed within sixty (60) days after the complainant becomes aware of the alleged violation.
3. An investigation, as may be appropriate, shall follow the filing of complaint. The investigation will be conducted by the Educational Accessibility provider. These rules contemplate informal but thorough investigations, affording all persons and their representatives, if any, an opportunity to submit evidence relevant to a complaint.
4. A written determination as to the validity of the complaint and a description of the resolution, if any, shall be issued by the Educational Accessibility provider and a copy forwarded to you as the complainant no later than five (5) working days after its filing.

5. The Educational Accessibility provider shall maintain the files and records of Richard Bland College complaints.
6. You can request a reconsideration of the case in instances where you are dissatisfied with the resolution. The request for reconsideration should be made within five (5) days. The Educational Accessibility provider will work with the appropriate administrator to address your request for reconsideration.
7. You have the right to a prompt and equitable resolution of the complaint.
8. Your use of this grievance procedure is not a prerequisite to the pursuit of other remedies. The College is prohibited from taking retaliatory action against you for requesting an accommodation, filing a grievance, or engaging in other protected activity.
9. The purpose of this grievance procedure is to protect the substantive rights of interested persons in a manner that meets the appropriate process standards and assures Richard Bland College complies with the ADA regulations.

## **Policy B.6.**

**Policy Name: Federal Medical Leave Act (FMLA)**

**Responsibility for Maintenance: Chief Human Resource Officer**

### **I. Policy Statement**

It is the policy of the Richard Bland College to fully comply with the FMLA and provide eligible employees with up to 12 weeks of unpaid family and medical leave per leave year because of their own serious health condition or the serious health condition of an eligible family member, or up to 26 weeks of unpaid leave to care for a covered service member with a serious injury or illness if the employee is the spouse, son, daughter, parent or next of kin of the service member.

### **II. Reason for Policy**

The College is committed to acting in accordance with the Family and Medical Leave Act (FMLA) is a federally mandated program that was signed into law on February 5, 1993 and amended by the National Defense Authorization Act on January 28, 2008.

### **III. Applicability of the Policy**

All positions covered under the Virginia Personnel Act to include full-time and part-time classified, restricted employees, and eligible wage employees.

### **IV. Related Documents**

DHRM Policy 4.20

[http://www.dhrm.virginia.gov/docs/default-source/hrpolicy/pol4\\_20fmla.pdf?sfvrsn=4](http://www.dhrm.virginia.gov/docs/default-source/hrpolicy/pol4_20fmla.pdf?sfvrsn=4)

### **V. Contacts**

<b>Subject</b>	<b>Office</b>	<b>Title</b>	<b>Telephone Number</b>	<b>Email</b>
<b>FMLA</b>	Human Resources and Compliance	Director of Human Resources and Compliance	(804) 862-6100 ext 6208	dbell@rbc.edu

### **VI. Definitions**

FMLA: Federal Medical Leave Act

DHRM: Virginia Department of Human Resource Management

### **VII. Procedures**

An employee should submit a written request for family and medical leave at least 30 calendar days prior to the anticipated leave begin date or as soon as practicable in unforeseen circumstances. If an employee is not able to provide notice because of an illness or injury, notice may be given by a family member or a spokesperson as soon as practicable.

Note: An employee must comply with agency leave request procedures, absent unusual circumstances. Failure to do so may be grounds for delaying or denying an **employee's request of FMLA qualifying leave**. Enforcement actions under FMLA can be brought by either the United States Department of Labor or individual employees.

For additional procedures, please refer to DHRM Policy 4.20

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## **VIII. Forms/Online Processes**

The FMLA policy can be located on the RBC website.

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**Policy C.1.****Policy Name: Acceptable Use of Information Technology Resources****Responsibility for Maintenance: Chief Information Officer****I. Policy Statement**

This policy of Richard Bland College of William & Mary views administrative data, third party proprietary information, and College information systems as critical business assets. Misuse or damage of administrative data, third party proprietary information, or College information systems may be as costly to the College as misuse or damage of physical property. College employees are responsible for the protection and proper use of College administrative data, third party proprietary information, and information systems according to the policy provisions set forth below. Please read this and all other information security policies and standards carefully before acknowledging awareness of their provisions.

**II. Reason for Policy**

Richard Bland College considers information technology as a critical enabler in meeting its mission and has made significant investments in information technology assets and capabilities. Compliance with this policy contributes to the availability, protection, and appropriate use of the information technology resources of Richard Bland College of William & Mary.

**III. Applicability of the Policy**

This policy applies to all College employees, faculty, and other persons that access, manage and/ or utilize information technology resources at Richard Bland College.

**IV. Definitions**

None

**V. Contacts**

Policy Name	Office	Title	Telephone Number	Email
<b>Acceptable Use of Information Technology Resources</b>	ICT	Chief Information Officer	(804) 862-6237	lwilliams@rbc.edu

**VI. Definitions**

Information Technology Resources include any of the following that are owned or supplied by Richard Bland College: usernames or computer accounts, hardware, software, mobile devices, audio visual equipment, communication networks, and devices connected thereto, electronic storage media, related documentation in all forms. Also included are data files resident on hardware or media owned or supplied by Richard Bland College regardless of their size, source, author, or type of recording media, including e-mail messages, document repositories, system logs, web pages and software.

## **VII. Procedures**

- A. Restricted College administrative data and third-party proprietary information (e.g., licensed software and designated portions of vendor contracts) in the custody of College staff members shall be used only for official College business and as necessary for the performance of assigned duties. Restricted College information includes student records that are confidential under the Family Educational Rights and Privacy Act (FERPA 1974, as amended), personnel records, and other data to which limited access is subject to prior administrative approval.
- B. College administrative data or third-party proprietary information shall not be altered or changed in any way except as authorized in the appropriate performance of assigned duties.
- C. College administrative data or third-party proprietary information shall not be divulged to anyone unless their relationship with the College as an employee, customer, vendor, or contracted temporary employee warrants disclosure and is authorized or required by law and College policy.
- D. Unless publicly available, College administrative data shall only be accessed by staff members who are specifically authorized to do so.
- E. College information systems shall not be used for personal economic benefit or for political advocacy. Occasional use (e.g., email, web) of College information systems for personal use is acceptable if it does not interfere with a staff member's job performance.
- F. Any user IDs and passwords assigned to a staff member shall be used only by that staff member and shall not be divulged to persons not authorized by the College.
- G. The College strictly prohibits illegal use of copyrighted software and materials, the storage of such software and materials on College information systems, and the transmission of such software and materials over Richard Bland College network facilities.
- H. The College is providing staff members with access to shared resources. Staff members shall not knowingly engage in any activity harmful to the College's information systems, administrative data, or third-party proprietary information. (e.g., creating or propagating viruses, overloading networks with excessive data, instituting or promulgating chain letters, or instigating unauthorized mass postings of any type).
- I. Richard Bland College information systems shall not be used to engage in any activity prohibited by College policies, or by state or federal law.
- J. College staff members shall not circumvent or subvert any College system or network security measures. They shall not use College email services to harass or intimidate another person. They shall not send email using or impersonating someone else's user ID or password.
- K. The College does not routinely inspect, monitor, or disclose electronic mail. However, Richard Bland College may access electronic messages, documents, and other information for purposes including, but not limited to:

- a. Satisfying the requirements of the Freedom of Information Act, or other statutes, laws or regulations;
- b. Allowing institutional officials to fulfill their responsibilities when acting in their assigned capacity;
- c. **Protecting the integrity of the institution's information technology** resources, and the rights and other property of the institution;
- d. Allowing system administrators to perform routine maintenance and operations, security reviews and respond to emergency situations; or
- e. Protecting the rights of individuals working in collaborative situations where information and files are shared;
- f. The College will investigate and may pursue appropriate internal or external civil or criminal proceedings when misuse of College administrative data, third party proprietary information, or College computing resources is suspected.

L. Failure to comply with any of the above stated policies may result in a staff member being disciplined or terminated from his or her position, in accordance with general employment policies and procedures that apply to respective categories of employees.

M. This policy does not affect the duties, powers and responsibilities of the Board of Visitors.

The Acceptable use policy is reviewed each year by the College President and executive team.

### **Additional Background, Related Policies, and other References**

In addition to the general principles set forth in this policy statement, the use of information technology resources may be affected by a number of other legal requirements and ethical principles. While it is not possible to list all potentially applicable laws and regulations, the following are particularly likely to have implications for the use of institutional information technology resources:

- The federal Family Educational Rights and Privacy Act (commonly known as FERPA) - restricts access to personally identifiable information from **students' education records**.
- United States Code, Title 18, § 1030: Fraud and Related Activity in Connection with Computers - Federal law specifically pertaining to computer crimes. Among other stipulations, prohibits unauthorized and fraudulent access to information resources.
- Computer Fraud and Abuse Act of 1986 (Part of 18 U.S.C. § 1030) - Makes it a crime to access a computer to obtain restricted information without authorization; to alter, damage, or destroy information on a government computer; and to traffic in passwords or similar information used to gain unauthorized access to a government computer.
- The Computer Abuse Amendments Act of 1994 (Part of 18 U.S.C. § 1030) - Expands the Computer Fraud and Abuse Act of 1986 to address the transmission of viruses and other harmful code.
- [Freedom of Information Act](#)

- Federal Copyright Law - Recognizes that all intellectual works are automatically covered by copyright. The owner of a copyright holds the exclusive right to reproduce and distribute the work.
- [Code of Virginia, §2.2-2827](#): Restrictions on state employee access to information infrastructure
- [DHRM Policy 1.75, Use of Electronic Communications and Social Media and Standards of Conduct Policy 1.60](#)
- Digital Millennium Copyright Act - Signed into law on October 20, 1998, as Public Law 105-304. Created to address the digitally networked environment, the DMCA implements the WIPO Internet Treaties; establishes safe harbors for online service providers; permits temporary copies of programs during the performance of computer maintenance; and makes miscellaneous amendments to the Copyright Act, including amendments that facilitate Internet broadcasting.
- Electronic Communications Privacy Act of 1986 - Prohibits the interception or disclosure of electronic communication and defines those situations in which disclosure is legal.
- Computer Software Rental Amendments Act of 1990 - Deals with the unauthorized rental, lease, or lending of copyrighted software.
- Health Insurance Portability and Accountability Act – Public Law 104-191, August 21, 1996. The final standards were published in February, 2003 and emphasize security management principles and broad management controls as primary vehicles for protecting patient health information.
- Federal Information Security Management Act of 2002 (FISMA), 44 U.S.C. § 3541, Public Law 107-296. Provides a framework for ensuring the effectiveness of information security controls over information resources that support Federal operations and assets.

Students, faculty and staff are responsible for understanding and observing these and all other applicable policies, regulations and laws in connection with their use of **RBC's information technology resources**.

## **Policy C-2**

### **Policy Name: Employee Computing and Communications Networks Usage**

### **Responsibility for Maintenance: Information and Communications Technology**

#### **I. Policy Statement**

Computer and communications network resources of the College are provided to support and enhance the educational objectives of the College.

#### **Computing Resources**

- Computers are restricted to student and employee use.
- Access to computer and network resources is restricted to authorized individuals as defined by the appropriate organizational unit.
- Accounts and passwords, when required, are assigned to specific individuals and may not, unless properly authorized by ITS, be shared with, or used by, other persons within or outside the College.
- Bandwidth-intensive or disruptive activities which access the campus network or the on-campus Internet connection may be prohibited or blocked in computer labs, classrooms, and public areas when they consume scarce resources or otherwise disrupt operations and thereby inhibit educational pursuits of other members of the college community.
- **Limited personal use of the College's computer** and network resources for other purposes is permitted when it does not interfere with the performance of the user's job or other College responsibilities, and otherwise is in accordance with this policy. However, College-related uses take priority over personal uses when resources are inadequate to meet both demands. Further limits may be imposed upon personal use in accordance with accepted management principles and in accordance with all applicable laws and regulations.

#### **RBC Email for Official Communications**

- All College employees are required to use RBC email accounts when conducting business via email on behalf of the College.
- When sending email communications to students, faculty and staff must use official student college email accounts (rbc.edu).
- Confidential or private information should not be sent via email.

In addition, the following activities are specifically prohibited:

- Transmitting unsolicited messages which contain obscene, indecent, lewd or lascivious material or other material which explicitly or implicitly depicts, encourages or solicits illegal or indecent sexual conduct;
- Transmitting unsolicited messages which contain profane language or which pander to bigotry, sexism or other forms of discrimination;
- Transmitting unsolicited messages which constitute harassment or threats;
- Communicating any information concerning any password, identifying code, personal identification number or other confidential information without the

permission of the controlling authority of the computer facility to which it belongs;

- Gaining or attempting to gain unauthorized access to, or making unauthorized use of, a computer facility or software. This includes creating, copying, modifying, executing or retransmitting any computer program or instructions with the intent to gain unauthorized access to, or make unauthorized use, of a computer facility or software.
- Creating, copying, modifying, executing or retransmitting any computer program or instructions intended to obscure the true identity of the sender of electronic mail or electronic messages, collectively referred to as "messages," including, but not limited to, forgery of messages and/or alteration of system and/or user data used to identify the sender of messages;
- Accessing or intentionally destroying software in a computer facility without the permission of the owner of such software or the controlling authority of the facility;
- Making unauthorized copies of licensed software;
- Communicating any credit card number or other financial account number, or any social security number without the permission of its owner;
- Effecting or receiving unauthorized electronic transfer of funds;
- Using College information systems for commercial gain;
- Using the computer facilities in a manner inconsistent with the College's license agreements or contractual obligations to suppliers or with any published policy;
- Illegally using copyrighted software and materials, storing such materials on College information systems, or transmitting such materials over Richard Bland College network facilities;
- Knowingly engaging in any activity harmful to the information systems (e.g., creating or propagating viruses, overloading networks with excessive data, instituting or promulgating chain letters, or instigating unauthorized mass postings of any type);
- Circumventing or subverting any system or network security measures.
- Using college computing devices or communications networks in the violation of any laws or participating in the commission or furtherance of any crime or other unlawful or improper purpose;

### **Policy Violation Response**

Enforcement and application of these policies, regulations and guidelines shall normally be handled by Information and Communications Technology personnel in conjunction with the head of HR and/or other appropriate college officials, councils or boards. In addition, cases may be referred to appropriate law enforcement agencies where applicable.

### **Guidelines for Attempted Violations**

The following guidelines will be used when employees are accused of violating computer policies:

- An attempt to violate policy will be considered the same as an actual policy violation.

- An "attempt" is any act beyond mere preparation carried out with the intent to engage in conduct that is in violation of policies.

## **Disciplinary Actions**

Depending on the nature and severity of the violation, the College may take one or more of the disciplinary actions listed below. The College may also temporarily deny access to the server and/or may refer the case to the appropriate local, state or federal authority for further disposition.

- A. Written warning.
- B. Restitution for damages.
- C. Loss of computer privileges for a period of time specified by college officials.
- D. Dismissal from employment.
- E. Other sanctions as deemed appropriate by college officials.
- F. Referral to the judicial system: This could include local, state or federal authorities.

## **Privacy and Search of Data**

Communications, data and information initiated by College employees using College systems are the property of the College. The College may monitor, inspect or search electronic activities, data files and communications of employees.

Electronic information and data transmitted by employees using College systems or communications networks or kept on College servers or systems may be searched by College authorities for violation of College rules and regulations if there is a reason to believe that an employee is using the College's computer resources in a manner that violates rules or regulations and written authorization has been issued and signed by the head of Human Resources and the Director of Information and Communications Technologies. Such written authorization shall state the source of the information, the violation, the material to be searched and the name(s) of the person(s) authorized to conduct the search. The foregoing does not apply to searches conducted by local or Campus Police or other authorized law enforcement agencies. All such searches are governed by the Code of Virginia.

In addition, electronic records may be searched in order to respond to requests for records under the Virginia Freedom of Information Act, or in order to perform or respond to an investigation by an authorized official or agency, or in the course of litigation (as in responding to a subpoena).

## **II. Reason for Policy**

Richard Bland College provides both wired and wireless network access to its students, staff, and faculty in classrooms, offices, and common areas. The purpose of this policy is to govern the rights and responsibilities of employee use of College computing devices and electronic communications (1) on school networks, (2) using school-provided email accounts or other applications such as the course management system, and (3) using school-provided technology such as computers, tablets and phones.

### **III. Applicability of the Policy**

This policy applies to all Richard Bland College employees and official College computing devices and communications networks.

### **IV. Related Documents**

Copyright policy.

Policy on Records Retention

### **V. Contacts**

<b>Subject</b>	<b>Office</b>	<b>Title</b>	<b>Telephone Number</b>	<b>Email</b>
<b>Computing Devices and Communications Networks</b>	ICT	Chief Information Officer	(804) 862-6237	lwilliams@rbc.edu

### **VI. Definitions**

**Employees:** All full- and part-time staff including classified, administrative, full-time faculty, and adjunct faculty.

**Computer Systems:** The term 'computer systems' should be construed to include all computing devices as defined below.

**Computing devices:** Any and all devices and systems used to access, retrieve, store or manipulate information such as traditional computers, tablet computers, telephones, smartphones, or other such devices whether Internet-enabled or not.

**Communications Networks:** Communications networks include college provided or maintained wired and wireless voice and data networks. These include data networks, cellular and traditional telecommunications networks, and all media and devices, protocols and services required to access, connect, monitor or maintain such networks.

**Routine security scans:** Security scans, audits or processes performed by the college as required by federal or state law and regulations, college security policies, or industry best practices. Examples include anti-virus scans, anti-malware scans, intrusion detection/prevention systems, vulnerability scanners, security monitoring devices, botnet trackers, anti-spam and -phishing systems and security procedures/audits, etc.

### **VII. Procedures**

Department supervisors and academic department chairs are responsible for providing information regarding RBC's policies and procedures regarding use of the College's computing devices and communications networks to all full-time and part-time employees and to encourage and monitor compliance.

**Employee Network Accounts:** Department supervisors and chairs are responsible for requesting network accounts and system/network access for new employees of the College. The office of Information and Communications Technology creates the approved accounts and provides new staff with account login information for network access, email, and other systems as required by job function such as: network file shares and printers, student and financial information systems (Banner), learning management systems (Canvas) and any other systems to which access is required.

### **Account Security**

Employees are responsible for safeguarding their login information and passwords and any subsequent activity using their accounts. As a result, account sharing of any kind is a violation of College policy and expressly forbidden. If an employee forgets his/her password, it must be reset. This activity will only be performed if the identity of the account owner is verified with a valid ID number. An employee may request a password change at the Library, Admissions, or Registrar's office during normal business hours.

Employees may log into various technology services on computing devices. However, employees must log off before leaving the device. Unscrupulous persons may take advantage of unwary users, accessing their email or Banner account information.

### **Account Privacy**

No computer security system, no matter how elaborate, can provide 100% security. Therefore, while ICT makes every effort to provide a reasonable level of confidentiality for information stored on the network, we cannot guarantee the privacy or confidentiality of that stored information. Therefore, all users should be advised not to store confidential, financial, or personal information on a computer network.

### **Email Privacy**

It is important to understand that email has no inherent mechanisms to ensure privacy. Therefore, employees should have no expectation of privacy and be aware that the system is not private. Information passing through or stored on Richard Bland College email servers (including cloud-based, externally hosted systems) may be monitored using routine security best practices to prevent security incidents and to ensure adherence with Richard Bland College policies and guidelines. RBC reserves the right to monitor, access, and disclose email information as appropriate and to prevent certain protocols to maintain security, prevent unauthorized access and protect the system from viruses and other potential risk factors.

### **Retiree Continued Access to RBC Email**

Upon request, RBC may grant retirees in good standing the privilege and benefit of using the RBC email system. This is extended to employees retiring from full-time, permanent positions and who have worked for RBC for at least ten years. Retirees who meet these qualifications must sign a Retiree Email Account Request Form and comply with the procedures specified on the form.

## **General Guidelines for Email Usage**

Electronic mail (email) is a widely used communications tool to facilitate college business. The following guidelines are intended to help assure productive use of this technology:

1. Email users should exercise good housekeeping techniques on their mailbox, **in accordance with the Virginia Records Retention Act and College's Policy on Records Retention**.
2. Email is not private and is easily forwarded on to others. Do not send unencrypted, confidential information by email.
3. Laws, regulations and policies that apply to copyright, discrimination, harassment, defamation, and privacy for written communication apply to email as well.
4. Do not forward chain messages or reply to spam email. Be wary of hoaxes and phishing attempts.
5. **The email system has the capability to automatically append a "signature" at the end of each email.** Your signature contact data should include name, institution (Richard Bland College), position/title, phone number and email address.
6. Consider whether email is the correct medium for your message as opposed to face-to-face meeting, telephone, regular mail, etc.

## **RBC Faculty & Staff Group (Distribution List) Email Guidelines**

The email system has the capability of sending a broadcast message to the "RBC Faculty & Staff" group which is sent to all faculty, staff and administrative email accounts. The following guidelines provide additional direction on appropriate usage of the "RBC Faculty & Staff" group.

1. Identify the benefit of your message to the campus at large and its relativity to institutional business.
2. Is your message something most people will benefit from hearing or is a smaller distribution list more appropriate?
3. Include a specific and informative subject line that allows recipients to determine whether to read the message. Do not simply forward a message.
4. **Be mindful that messages sent to the "RBC Faculty & Staff" group are expensive in utilization of system resources.**

## **VIII. Forms/Online Processes**

Network Access Request Form

Email Account Request Form

Retiree Email Account Request Form

## **Policy C-3**

**Policy Name: Telephone and Voice Mail Usage**

**Responsibility for Maintenance: Information and Communications Technology**

Date of most recent changes: April 24, 2015

### **I. Policy Statement**

Telephone and voicemail systems are resources and tools provided by RBC for the facilitation of communication in order to conduct College business. It is important for all to behave in a responsible, professional, ethical, and legal manner in using these resources and tools. Appropriate use, in general, means respecting the rights of other users and the integrity of the physical facilities, as well as all pertinent license and contractual agreements. Employees will use good judgment in personal use of these tools and such use will not interfere with work.

The College telephone and voicemail systems are to be used for College business. Personal calls and personal voicemail messages are permitted, so long as such personal use is reasonable in duration and frequency, do not interfere with an **employee's work performance, and do not result in violation of law, regulation, or other College policy.**

Use of College telephones or voicemail in a manner inconsistent with the guidelines below may result in disciplinary action if such misuse is repeated, chronic, excessive, or in violation of law, regulation or other College policy.

### **II. Reason for Policy**

To ensure that telephone and voicemail resources are consistently used in an effective manner for conveying accurate and timely information both internally and externally in support of the College's enterprise, as well as a community-relations tool that helps to promote the College's character, mission, and priorities.

### **III. Applicability of the Policy**

This Policy applies to all members of the RBC campus community (students, faculty, and staff).

### **IV. Related Documents**

Richard Bland College Acceptable Computer Use Policy

Richard Bland College Email Usage Policy

## **V. Contacts**

<b>Subject</b>	<b>Office</b>	<b>Title</b>	<b>Telephone Number</b>	<b>Email</b>
<b>Telephone and Voicemail Usage</b>	ICT	Chief Information Officer	(804) 862-6237	lwilliams@rbc.edu

## **VI. Definitions**

### **VII. Procedures**

Department supervisors and academic department chairs are responsible for **providing information regarding RBC's policies and procedures regarding telephone and voicemail systems usage to all full-time and part-time employees and to encourage and monitor compliance.**

Examples of misuse of College telephone and voicemail facilities include:

- Inappropriate use of voicemail as a substitute for human contact;
- Failure to update voicemail greetings to better assist those we serve;
- Inappropriately lengthy voicemail greetings;
- Other uses or misuses of communication technologies that compromise the effectiveness and efficiency of College operations.

### **Telephone and Voicemail Usage Guidelines**

A phone conversation may be the first contact a person has with Richard Bland College. A professional attitude on the telephone or voicemail reflects a positive image of the College.

#### Telephone Guidelines

The following guidelines should be used when using the telephone:

- Answer your phone when you are available to take calls.
- Always identify yourself and your department.
- Speak clearly; put a smile in your voice.
- **If the caller has not identified him/herself, ask, "To whom am I speaking?"** and use his/her name during the conversation.
- Focus your full attention on the caller.
- Be as helpful as possible. Personally handle as much of the transaction as **you can. If you can't address the caller's needs, connect the caller to the appropriate individual.**
- Always return calls within 24 hours. Failure to return calls is unprofessional and harmful to College relations.

#### Speakerphone Etiquette

Always ask permission of the other person before talking to him/her on the speakerphone, and always identify other people in the room.

## Transferring Calls

You own the call placed on your line until you find the right party who can handle the **caller's request**. When transferring calls observe the following:

- Transfer callers only if you are certain that you cannot help the caller, and you are reasonably sure the person to whom the caller is being transferred can help the caller. Become familiar with the functions of other departments and individual responsibilities to aid in a correct transfer the first time.
- Always give the caller the phone number and name (person and/or department) of the person you are transferring him/her to.
- **Do not blindly transfer calls. Stay on the line until someone answers and advise that person about the name and nature/reason of the call transfer.** If that person cannot handle the caller's query, then ask for the caller's name and contact information so you can call back with the correct department and contact within that department.
- If the caller seems annoyed about being transferred, suggest a callback rather than risk poor customer service.

## **Voicemail Guidelines**

To utilize voicemail as an effective means of communications, be succinct when recording your personal greeting and when leaving a message in another mailbox. Proper use of the telephone and voicemail system can result in a more productive working environment.

- Check voicemail messages regularly. Return calls within 24 hours.
- Voicemail should not be used to screen calls.
- Calls should not be forwarded to voicemail unless absolutely necessary.

## Voicemail Greeting

When recording a greeting the following guidelines are suggested:

- Identify yourself and your department.
- **Indicate whom to call for "immediate assistance". This should be a live person and not another voicemail box.** Please indicate your name and the hours of operation for the department.
- Notify callers when on vacation or on extended leave. When appropriate, let the caller know whom to contact in your absence.
- **Greetings should not include personal "tag" lines containing messages of a spiritual, philosophical or a personal (non-business related) nature.**
- To achieve a uniform presentation to the public, voicemail greetings should begin with:  
**"You have reached (your name) in the (department) of Richard Bland College."**
- The remainder of the greeting can be tailor-made for each individual employee/department. The following is a suggested greeting:

**"I am** not available to take your call right now, but your message is important to me. Please leave your name and number with a brief message (that will help me to handle your request or to reply more quickly, etc.)."

If it's a recording for a department function, i.e. transcript request, faculty questions about report deadlines dates, etc., then a customized message should be

made to give callers more information or direct callers to another extension, or perform another step to accomplish their goals.

To maximize the features of our voicemail system and keep us in a positive light, no caller should be left in doubt about the disposition of his/her call. Reassurance should be given that each call to this campus is being taken seriously and handled efficiently.

To withstand scrutiny, voicemail should be accessed each day and acted upon quickly. If one is on vacation, or away from the phone for an extended period of time, a clear message to that effect should be placed on the phone and then changed immediately upon your return.

#### Leaving a Message

When leaving messages (voicemail or otherwise) consider the following:

- Speak clearly and identify yourself (name and business).
- Keep messages brief. Requests for information that are complete and concise allow the recipient to quickly and accurately respond to your call.
- When leaving a voicemail message, keep content of the voicemail appropriate for business.
- Stating the date and time the message is left is a good practice.
- Always leave a direct call back number and repeat numbers slowly. This will allow the recipient to more easily and correctly return the call.

## **VIII. Forms/Online Processes**

## **Policy C.4.**

### **Policy Name: Use of Copyrighted Works**

### **Responsibility for Maintenance: Library**

#### **I. Policy Statement**

All members of the college community must respect and comply with copyright law (Title 17 of the United States Code). This obligation exists whether the original work is in a fixed, tangible medium, or consists of digital materials or software. Works protected by copyright include writings, recordings, photographs, videos, movies, digital works, and software.

It is against College policy for an employee (faculty or staff) or students to use College equipment or services to access, use, copy or otherwise reproduce, or make available to others any copyright-protected materials (tangible, digital, or software) except as permitted under copyright law (especially with respect to "fair use"). Responsibility for the determination of the copyright status and securing permission rests with those persons wishing to reproduce, distribute, adapt, perform, or display the materials.

Fair use requires a fact-specific analysis that should be considered carefully whenever deciding whether or not permission is required.

Violations of this policy may result in disciplinary action.

#### **II. Reason for Policy**

This policy exists to prevent copyright infringement in materials. The exceptions to **a copyright owner's exclusive rights provided by law, especially the fair use** provision, are integral to the balance between exclusive rights and productive, socially beneficial new uses of works.

#### **III. Applicability of the Policy**

All College employees and students must comply with this policy.

#### **IV. Related Documents**

<http://www.copyright.gov/>

[http://www.copyright.gov/reports/studies/dmca/dmca\\_executive.html](http://www.copyright.gov/reports/studies/dmca/dmca_executive.html)

<http://www.educause.edu/library/digital-millennium-copyright-act-dmca>

<http://www.copyright.gov/legislation/dmca.pdf>

Guidance on Fair Use [reserved]

Employee Computing and Communications Networks Usage Policy

Student Computing and Communications Network Usage Policy

**V. Contacts**

<b>Subject</b>	<b>Office</b>	<b>Title</b>	<b>Telephon e Number</b>	<b>Email</b>
<b>Digital Copyright Protection</b>	ILR	Associate Dean Instructional & Learning Resources	(804) 862- 6150	ajoyaux@rcb.edu

**VI. Definitions**

“Copyright” means the rights granted to the author of an intellectual or artistic creation. The author of the work has the exclusive right to reproduce, distribute, adapt, perform, or display the work.

“Fair Use” provides a limited exception to the obligation to obtain permission of the copyright owner in order to use the copyrighted work. Whether a particular use is a fair use is a fact-specific judgment, and not a bright-line test. See Guidance on Fair Use [reserved].

**VII. Procedures.**

Allegations of violations of this policy should be reported to the Policy Contact listed above. If the alleged violation has made use of the College’s information technology network, the College reserves the right to remove the material prior to any determination that a violation has occurred.

Repeat violations of this policy making use of the College’s information technology network may result in a loss of privileges. (See policies on Employee Computing and Communications Network Usage and Student Computing and Communications Network Usage.)

## **Policy C-5**

### **Policy Name: Internet Privacy Policy**

### **Responsibility for Maintenance: Information and Communications Technology**

#### **I. Policy Statement**

It is the policy of the Commonwealth of Virginia that personal information about citizens will be collected only to the extent necessary to provide the service or benefit desired; that only appropriate information will be collected; that the citizen shall understand the reason the information is collected and be able to examine their personal record which is maintained by a public body. As a public college in the Commonwealth, Richard Bland College adheres to this policy.

The Richard Bland College website:

- Does not require that any personal information be supplied in order to download publicly available files or reports.
- Collects no personal information without the knowledge and consent of the visitor. Any information collected will be used only for the purpose indicated and will not be shared with any other organization.
- **Will only use “cookies” to collect traffic data on our site. None of this** information is associated with you as an individual and is used strictly for statistical reporting purposes in order to assess demands and usage for planning purposes.
- Though personal information may be required in order for us to provide a requested service, in doing so we are subject to the requirements for administering information systems as established in the Government Data Collection and Dissemination Practices Act, Chapter 38 of Title 2.2 of the Code of Virginia.
- Does not make available any personally identifying information relating to students, except as authorized by the Family Educational Rights and Privacy Act, 20 U.S. C. § 1232g, and companion regulations, 34 C.F.R. Part 99.

#### **II. Reason for Policy**

This policy is intended to ensure that the College’s website is consistent with Commonwealth of Virginia laws and regulations pertaining to websites run by state agencies. The policy is further intended to ensure users of the College website are aware of the way in which personal information is collected and used.

#### **III. Applicability of the Policy**

This policy applies to the College’s publicly-facing website: [www.rbc.edu](http://www.rbc.edu). This policy does not apply to other Internet-facing or accessible sites, systems, forms or data stored on or retrieved from third-party sites or systems linked to or from the main [rbc.edu](http://www.rbc.edu) site.

All College employees must comply with the requirements of this policy in the performance of their duties.

#### **IV. Related Documents**

Government Data Collection and Dissemination Practices Act, Chapter 38 of Title 2.2 of the Code of Virginia.

Family Educational Rights and Privacy Act, 20 U.S.C. § 1232g

Family Educational Rights and Privacy Act regulations, 34 C.F.R. Part 99

Department of Human Resource Policy 1.75 – Use of Electronic Communications and Social Media

#### **V. Contacts**

<b>Subject</b>	<b>Office</b>	<b>Title</b>	<b>Telephone Number</b>	<b>Email</b>
<b>Computing Devices and Communications Networks</b>	ICT	Chief Information Officer	(804) 862-6237	lwilliams@rbc.edu

#### **VI. Definitions**

**College website:** Richard Bland College's publicly-facing website at: <http://www.rbc.edu>

#### **VII. Procedures**

#### **VIII. Forms/Online Processes**

## **Policy C.6**

### **Policy Name: Social Media Policy**

### **Responsibility for Maintenance: Information and Communications Technology**

#### **I. Policy Statement**

##### **Official Use of Social Media**

Unless specifically authorized by Campus Communications, under the authority of the Office of the President, no Richard Bland College staff, faculty or student may **create an "official" Richard Bland College presence on any form of Website or Social Media** now in existence, or created in the future, or represent themselves as a spokesperson or authorized representative of Richard Bland College of William & Mary. This includes the use of the College name or logos in any manner that suggests that College connection or oversight.

Some staff or faculty of Richard Bland College may be required to use Social Media as part of their employment and/or academic responsibilities. If so, such status will be clearly stated and will be approved in advance by Campus Communications, under the authority of the Office of the President.

Campus Communications may utilize Social Media to present information and content to the public and receive feedback from the public and the College community. Content and information released on Social Media is equivalent to content and information released to the media and the public in any other format, including news releases, letters, etc. Care must be taken that content and information released to the public over Social Media is accurate, does not violate applicable laws (including, but not limited to, copyright, trademark and defamation law) or Richard Bland College policy.

Official Richard Bland College Social Media may allow members of the public to comment or react to posted content and information. Individuals, including staff, faculty and students of Richard Bland College acting in their personal capacity, may post or comment anonymously or identifiably.

In general, the College invites discussion of important ideas and issues through Social Media. However, Richard Bland College reserves the right to remove posts or comments that are obscene, defamatory, threatening, abusive, spam or advertising, private information, or unrelated to the content or information. Richard Bland College also reserves the right to remove posts or comments that violate applicable laws including, but not limited to, copyright and trademark, or those that violate the use policies promulgated by the applicable Social Media provider.

**Richard Bland College's use of Social Media is governed by Section 230 of the Communications Decency Act, which provides a safe harbor for Internet Service Providers and Websites for activity that takes place on said sites, provided that the site or domain takes certain actions when legally required.**

## **II. Reasons for Policy**

Richard Bland College of William & Mary encourages the appropriate use of all social media as a method for communicating ideas and information, and as part of the educational mission of the College. The purpose of the policy is to ensure that College social media usage is authorized.

## **III. Application of the Policy**

This policy governs the staff, faculty, and students of Richard Bland College. This policy governs behavior of individuals as they utilize all Social Media technologies for College purposes and is not limited to any specific media format.

## **IV. Related Documents**

## **V. Contacts**

<b>Policy Name</b>	<b>Office</b>	<b>Title</b>	<b>Telephone Number</b>	<b>Email</b>
<b>Social Media</b>	Communications	Director	(804) 862-6214	jwilliams@rbc.edu

## **VI. Definitions**

**“Social Media” means those Internet or Mobile digital tools and systems used to share and/or receive information, including any social media outlets in which an individual or group of individuals might post information anonymously. The term is limited to those social media accounts that are utilized by the College for its purposes.**

## **VII. Procedures**

### **Amendment and Questions**

This policy is maintained by Campus Communications and may be amended from time to time by Campus Communications, under the authority of the Office of the President, and in consultation with other appropriate Richard Bland College officials.

Richard Bland College of William & Mary abides by the Commonwealth of Virginia’s “Use of Electronic Communications and Social Media”

<http://www.dhrm.virginia.gov/docs/defaultsource/hrpolicy/pol175useofinternet.pdf?sfvrsn=2>

## **Policy C.7.**

### **Policy Name: Wireless Communication Device Usage**

### **Responsibility for Maintenance: Information and Communications Technology**

#### **I. Policy Statement**

The College recognizes that the performance of certain job responsibilities may be enhanced by the use of wireless communication devices.

Eligibility for a wireless communication device allowance (not to exceed \$75.00/month) is determined on a position by position basis by each division head who must certify to (1) the **employee's need for a cell phone** and (2) the anticipated use. Employees whose duties and responsibilities require them to maintain significant wireless communication device contact with the College while away from the office or to be accessible after normal working hours may be eligible for compensation in the form of a wireless communication device allowance to pay for the business portion of their plan.

All employees are reminded not to store institutional data, especially those containing personally identifiable information or tax identification numbers, on their wireless communication devices. And, any such information must be for legitimate College business reasons and must be temporary. Any device for which the College provides an allowance is subject to all College data access, management, and privacy policies and must be protected to the maximum extent when College data is involved. All devices that are used to connect to the **College's network or** technological assets (on premise and cloud) are bound by all applicable College network and computer policies, RBC Acceptable Use Policy, Social Media Policy.

Employees receiving a stipend for the business use of their personal cell phones must limit their personal use of such phones during working hours in accordance with applicable College policy. During **non-working hours, such employee's use of** their personal phones is not so inhibited.

All employees must use a password on their device to protect College data in the event of loss or theft of the device. Any misuse of the device will result in termination of the communication device allowance, disciplinary action, and possible termination of employment.

#### **II. Reason for Policy**

The purpose of the policy is to provide procedures for the qualification, authorization, deployment, and use of wireless communication devices for which authorized employees receive a monetary allowance.

This policy will simplify the College wireless communication device program, and result in each user having the freedom of choice and personal responsibility for his/her wireless communication device. The College will not provide College-owned wireless communication devices and related services for individual employees, unless approved by the appropriate division head as an exception to this Policy.

### **III. Applicability of the Policy**

This policy applies to all employees of the College who use cell phones that are either owned or paid for by the College, or who receive an allowance for the business use of their personal cell phones.

### **IV. Related Documents**

Employee Computing and Communications Networks Usage  
Telephone and Voicemail Usage  
Social Media Policy

### **V. Contacts**

<b>Subject</b>	<b>Office</b>	<b>Title</b>	<b>Telephone Number</b>	<b>Email</b>
<b>Cell Phone Usage</b>	ICT	Chief Information Officer	(804) 862-6237	lwilliams@rbc.edu

### **VI. Definitions**

“Wireless communication devices” may be, but are not limited to, cell phones, wireless cards, or other wireless telecommunication devices that have voice and/or data capabilities with a monthly fee. It does not include pagers and mobile radios.

### **VII. Procedures**

Wireless communication devices may be connected to College servers and cloud services. Information passed through the College systems, servers, etc. is considered College information and subject to the Virginia Freedom of Information Act (FOIA), College records retention requirements, and other policies and procedures. Employees are reminded to follow applicable College and State policies for wireless and other communication devices when using their personal devices to communicate through College servers or data.

**The employee’s wireless communication device allowance is taxable income and will be included in the employee’s W-2.** As taxable income, the allowance would be subject to garnishment deduction calculation; other payroll deductions and benefits (i.e., VRS or ORP) are not affected.

## **Policy C.8.**

**Policy Name: Intellectual Property**

**Responsibility for Maintenance: Information and Communications Technology**

### **I. Policy Statement**

#### **A. Ownership of Intellectual Property (Employees)**

1. The College owns the intellectual property created by its employees when:
  - (a) the intellectual property results from an administrative activity, or
  - (b) the intellectual property results from an assigned duty, or
  - (c) creation of the intellectual property involved a significant use of general funds.

Ownership otherwise resides with the employee creating the intellectual property. As provided in the paragraph on Administrative Responsibilities, the **Dean of Faculty may waive the College's interest in the intellectual property**, under such terms as shall be provided by the Dean of Faculty. Such a waiver will be in writing.

2. Grants-Whenever the College provides or administers a grant, it may vary the terms of this policy if it provides notice at the time the grant is applied for. In the absence of that notice, the following paragraphs generally will apply:

Ownership of intellectual property created under a grant from the College is the same as ownership of intellectual property not covered by a grant: i.e. it is described in this policy.

Ownership of intellectual property created under an outside grant that is administered by the College is not completely **within the College's control**.

This policy will governs unless in conflict with any term or condition of the grant. Whenever the granting agency retains ownership of intellectual property if the College does not elect to claim it, the College will elect to retain ownership and either keep it or transfer it to the employee according to the provisions of this policy.

3. Contracts--The College sometimes has copyrightable or patentable work done on contract with third parties who are not employees or students. Rights in these situations are governed by a combination of federal law, state law, and the contract.

4. Consulting--Employees who perform consulting work for outside organizations do not act as College employees when they do so, and the terms of this policy are therefore inapplicable. Outside employment must be

approved beforehand by the College, as specified in the Faculty Handbook and state law.

## **B. Ownership of Intellectual Property (Students)**

Unless the intellectual property has been created as a result of an administrative activity, or assigned duty, or involved a significant use of general funds, students will own intellectual property resulting from their classroom assignments.

Students own any intellectual property resulting from their own initiative and not required by the College or a faculty member, such as a paper written for an essay contest.

## **II. Reason for Policy**

The purpose of this policy is to define the ownership rights to copyrightable works of authorship and inventions which may be patented that are created by employees and students of Richard Bland College.

## **III. Applicability of the Policy**

A. Applicability of the Policy – This policy applies to all employees and students of the College.

## **IV. Related Documents**

## **V. Contacts**

<b>Policy Name</b>	<b>Office</b>	<b>Title</b>	<b>Telephone Number</b>	<b>Email</b>
<b>Intellectual Property</b>	Faculty & Institutional Effectiveness	Dean of Faculty	(804) 862-6491	vllindquist@rbc.edu

## **VI. Definitions**

a. **“Administrative Activity”** means an administrative activity is one that relates to the management or administrative functions of the College. Such activity is typically found in other organizations not involved with teaching or scholarship. Administrative activities include, for example, preparing budgets, developing policies and contracts, maintaining a personnel system, keeping inventories of equipment, developing long-range plans, and preparing brochures. Administrative activities also include activities that are not found outside of educational institutions but which support teaching and scholarship indirectly, such as preparing a database of student information, printing a catalogue of course descriptions, designing and constructing classrooms, or writing a patent and copyright policy. There is no hard and fast line between administrative activities and teaching or scholarship activities. The question is whether an activity is predominantly one or the other, not whether it is entirely one or the other.

b. Assigned duty – **“Assigned duty”** is narrower than **“scope of employment,”** and is an undertaking of a task or project as a result of a specific request or direction. A

general obligation to do research, even if it results in a specific end product such as a vaccine, a published article, or a computer program, or to produce scholarly publications, is not a specific request or direction and hence is not an assigned duty. In contrast, an obligation to develop a vaccine or a request or direction to write an article or produce a computer program is a specific request or direction and is therefore an assigned duty.

- c. **"College"** means Richard Bland College. The Dean of Faculty will serve as the College's agent for matters of applying this policy.
- d. **"Creator"** means either an inventor in the context of patentable invention, or an author in the context of copyrightable works of authorship.
- e. **"Employee"** means all individuals employed by the College, including full- and part-time faculty, classified employees, and administrative staff.
- f. **"Invention"** means a machine, article of manufacture, composition of matter, process or any improvement to those.
- g. **"Intellectual Property"** means:
  - (1) the right to apply for a patent, or
  - (2) an issued patent, or
  - (3) a legal right that inheres in a patent, or
  - (4) a copyright, or
  - (5) a legal right that inheres in a copyright.
- h. **"Reporting Period"** means the period of July 1 of one year through June 30 of the following year.
- i. **"Royalties Received"** means any value received, including cash payments as well as the fair market value of any property or services received, in consideration for a transfer of any intellectual property in which an institution claims an interest.
- j. **"SCHEV"** means the State Council of Higher Education for Virginia.

**"Significant Use of General Funds"** (required by legislation for determining when transfers of intellectual property must be approved by the Governor), and the phrase **"developed wholly or significantly through the use of general funds"** mean that general funds provided \$10,000 or more of the identifiable resources used to develop a particular intellectual property. A reasonable cost should be assigned to those resources for which a cost figure is not readily available, such as salary, support staff, and other equipment and resources dedicated to the creator's efforts. Resources such as libraries that are available to employees generally should not be counted in the assessment in the use of general funds. The definition of significant use must be answered on the basis of the facts and circumstances of each case. Generally, the use of offices, laboratories, studios, libraries, or the receipt of salary, all of which would otherwise be used in the normal course of teaching and research duties, will not be construed as constituting significant use of general funds.

k. "Work" means "an original work of authorship fixed in a tangible medium" as used in the Copyright Act.

## **VII. Procedures**

- A. Administrative Responsibilities: The Dean of Faculty is responsible for the implementation and administration of this intellectual Property policy and will:
  - (1) develop amendments and guidelines deemed appropriate for the implementation of this policy;
  - (2) promptly consider all notifications of intellectual property and determine the circumstances of creation to establish whether significant use of College facilities, personnel and resources is involved;
  - (3) determine whether to apply for a patent or register a copyright on behalf of the College;
  - (4) determine whether the intellectual property in which the College holds an interest is marketable, and if so, take appropriate steps on behalf of the College for marketing the property, including transferring the College's rights to the Richard Bland College Foundation or another entity, as authorized by law and this policy;
  - (5) distribute royalties as a result of the implementation of this policy;
  - (6) advise the creator in writing whenever the College does not claim ownership of an intellectual property of which the creator has notified the College.

The President will review and approve the standards and guidelines and any amendments to them developed by the Dean of Faculty for the implementation of the Intellectual Property Policy and at the request of any interested party or on his own review any determination of the Dean of Faculty. The Dean of Faculty, if he deems necessary, may appoint a committee to advise him. The Dean of Faculty also shall conduct periodic reviews of the Intellectual Property Policy.

- B. In implementing the Intellectual Property Policy, the Dean of Faculty will:
  - (1) maintain records on all requirements regarding patents and copyrights in any grant or contract accepted by the College;
  - (2) provide patent, copyright and other pertinent information as required by the terms of a grant, contract, or agreement to which the College is party;
  - (3) submit appropriate reports as the College and the State Council of Higher Education require.
- C. The President of the College may reassign the administrative responsibilities of administering this policy as he deems necessary.
- D. Employee Responsibilities

Employees will promptly notify the Dean of Faculty in writing of all intellectual property of marketable value that the College owns as provided in Section 4.c. Notifications will go through the appropriate administrative head to the Dean of Faculty for the purpose of determining whether, and to what extent, the College has a proprietary interest in the material and determining the use of State general funds in its development. If more than one individual participated in the development, the notification **should identify the percent of each participant's interest and should be signed** by all participants. The participants will furnish additional information and execute documents from time to time as the Dean of Faculty may reasonably request.

Responsibility for timely and responsible notification of intellectual property rests **with the creator. Notification forms will be available in the Dean of Faculty's Office.** Guidance is available from the Dean of Faculty on the steps to be taken to protect the interests of the creator and the College.

The Dean of Faculty will so advise the creator in writing if the College claims no ownership of the intellectual property.

The determination of ownership will normally be expected within thirty (30) days after the creator submits a completed notification to the Dean of Faculty. The creator and all participants will cooperate in the application for a patent on the invention or in registering the copyright to the work, whether requested by the

College or an agent or assignee of the College, such as the Richard Bland College Foundation.

If at any point in the process the College decides that no further current action is desirable for intellectual property that the College owns, it will so notify the creator within thirty (30) days. In this case, the College may transfer full or limited ownership to the creator, or reserve ownership until a subsequent date.

#### E. Protection and Commercialization

Nothing in this policy requires the College to sell, license, or use any intellectual property. The Dean of Faculty and the President must approve institutional agreements between the College and any outside patent management firm. The **President will determine whether the agreement is in the College's interest.**

#### F. Distribution of Royalties

Generally, the creator(s) and the College will share the gross royalties that are received from intellectual properties for which the College obtains a patent or holds a copyright. The creator will receive 50% of the gross royalties received on the first \$10,000, then 20% of the gross royalties received over \$10,000 and up to \$100,000, and 10% thereafter of the gross royalties that exceed \$100,000. Under special circumstances the creator or the College may propose an alternate arrangement.

The royalties to the College will be used to fund faculty development, general research, and intellectual property development expenses unless the Board of Visitors or the President directs otherwise.

Individual grants or contracts for sponsored research with a granting agency may specify a different assignment of patent or copyright ownership or a different distribution of royalties.

**G. Appeal of Action by the Dean of Faculty**

A creator who claims to be adversely affected by an action of the Dean of Faculty may appeal in writing within ten (10) calendar days of notification of the action to the President.

Grounds for appeal include an alleged failure of the Dean of Faculty to comply with this Intellectual Property Policy.

The creator will submit his or her appeal to the President and demonstrate that the creator has made a reasonable effort to resolve his complaint with the Dean of Faculty as a preliminary matter. Proceedings will be informal, and all parties will have adequate notice and opportunity to be heard.

After considering all relevant information, the President will decide the merit of the **creator's grievance and advise the Dean of Faculty and the creator of his decision.**

Review of appeals will take no longer than thirty (30) days from the date they are filed unless both parties mutually agree upon an extension or if additional time is authorized by the President for cause.

**H. The College has the right, with the Governor's written approval when legally required, to transfer any intellectual property in which it claims an interest.**

**I. The Governor's prior written approval is required for transfers of title to patents and copyrights that were:**

- a. developed wholly or significantly through the use of state general funds, by an employee of the institution acting within the scope of his assigned duties, or
- b. developed wholly or significantly through the use of state general funds and are to be transferred to an entity other than the following:
  - (1) the Innovation and Entrepreneurship Investment Authority (See Code sec. 2.2-2221(15), or
  - (2) an entity whose purpose is to manage intellectual properties on behalf of nonprofit institutions, or
  - (3) an entity whose purpose is to benefit the transferring institution, such as the Richard Bland College Foundation.

**J. When prior written approval is required, the College will send a description of the intellectual property and the proposed transaction to the State Council of Higher Education. The Council may recommend action to the Governor, including any conditions the Council thinks should be attached to the proposed transfer. The**

Governor also may attach conditions to the transfer.

When the College specifically directs an employee to develop a particular intellectual property, the development becomes a specific administrative activity. If the development is done with significant use of state funds (substantial use. . .), **the College must obtain the Governor's approval before transferring the property**, whether or not the transferee is one of the entities previously listed.

K. Reporting Requirements

The Dean of Faculty shall be responsible for compiling information and submitting reports to external bodies as required by law or applicable policy.

**Policy C-9.****Policy Name: Software Usage Policy****Responsibility for Maintenance: Information and Communications Technology****I. Policy Statement**

Violations of authorial integrity, including plagiarism, invasion of privacy, defamation, unauthorized access, and trade secrets and copyright violations may be grounds for sanctions against students or employees of Richard Bland College.

- a. Richard Bland College licenses the use of computer software from a variety of outside companies. Richard Bland College does not own this software or its related documentation and, unless authorized by the software developer, neither the College nor its students has the right to reproduce it.
- b. With regard to use on local area networks or on multiple machines, Richard Bland College students and employees shall use the software only in accordance with the license agreement.
- c. Richard Bland College students and employees learning of any misuse of software or related documentation within the College shall notify the Chief Information Officer.
- d. According to the U.S. Copyright Law, persons involved in the illegal reproduction of the software or related documentation can be subject to substantial civil damages, and criminal penalties, including fines and imprisonment. Richard Bland College does not condone the illegal duplication of software or related documentation. Richard Bland College students or employees, who make, acquire, or use unauthorized copies of computer software or related documentation shall be disciplined as appropriate under the circumstances.

Respect for intellectual labor and creativity is vital to academic discourse and enterprise. This principle applies to all works of all authors and publishers in all media. It encompasses the right to acknowledgment, right to privacy, and right to determine the form, manner, and terms of publication.

Because electronic information is easily reproduced, respect for the work of others is especially critical in computer environments.

**II. Reason for Policy**

Respect for intellectual labor and creativity is vital to academic discourse and enterprise. This principle applies to all works of all authors and publishers in all media. It encompasses the right to acknowledgment, right to privacy, and right to determine the form, manner, and terms of publication.

Because electronic information is easily reproduced, respect for the work of others is especially critical in computer environments.

### **III. Applicability of the Policy**

This policy applies to all College employees and students.

### **IV. Related Documents**

### **V. Contacts**

<b>Policy Name</b>	<b>Office</b>	<b>Title</b>	<b>Telephone Number</b>	<b>Email</b>
<b>Software Usage Policy</b>	Information and Communications Technology	Chief Information Officer	(804) 862-6237	lwilliams@rcb.edu

### **VI. Definitions**

### **VII. Procedures**

## **Policy D.1.**

**Policy Name: Discrimination, Harassment, Sexual Misconduct, and Retaliation**

**Responsibility for Maintenance: Chief Human Resource Officer**

### **I. Policy Statement**

Richard Bland College is committed to providing an environment that emphasizes the dignity and worth of every member of its community and that is free from harassment and discrimination based on race, sex, color, national origin, religion, age, veteran status, sexual orientation, gender identity, pregnancy, genetic information, against otherwise qualified persons with disabilities, or based on any other status protected by law. In pursuit of this goal, any question of impermissible discrimination on these bases will be addressed with efficiency and energy and in accordance with this policy and the Richard Bland College Discrimination Grievance Procedures. This policy and the Discrimination Grievance Procedures also address complaints or reports of retaliation against those who have opposed practices prohibited by this policy, those who have filed complaints or reports under this policy, and those who have testified or otherwise participated in enforcement of this policy.

### **II. Reason for Policy**

The purpose of this policy is to establish clearly and unequivocally that Richard Bland College prohibits discrimination, harassment, sexual misconduct, and retaliation by individuals subject to its control or supervision and to set forth procedures by which such allegations shall be filed, investigated and adjudicated.

### **III. Applicability of the Policy**

This policy applies to on-campus conduct involving students, employees, faculty and staff, visitors to campus (including, but not limited to, students participating in camp programs, non-degree seeking students, exchange students, and other students taking courses or participating in programs at Richard Bland College), and contractors working on-campus who are not Richard Bland College employees, and to students, visiting students, employees, faculty and staff participating in Richard Bland College-sponsored activities off campus. This policy also is applicable to any conduct that occurs off campus that has continuing effects that create a hostile environment on campus. Allegations of on-campus or off-campus violations of this policy should be reported to the Title IX Coordinator in accordance with the guidance below and the Discrimination Grievance Procedures. This Policy is effective February 6, 2015. This policy supersedes any and all previously adopted policies or procedures for the handling of discrimination, harassment, sexual misconduct, and retaliation.

### **IV. Related Documents**

Discrimination Grievance Procedures

## **V. Contacts**

<b>Policy Name</b>	<b>Office</b>	<b>Title</b>	<b>Telephone Number</b>	<b>Email</b>
<b>Title IX Compliance</b>	Human Resources and Compliance	Director of Human Resources and Compliance	(804) 862-6208	dbell@rbc.edu

## **VI. Definitions**

### **Discrimination**

Inequitable and unlawful treatment based on an individual's protected characteristics or statuses -- race, sex, color, national origin, religion, age, veteran status, sexual orientation, gender identity, pregnancy, genetic information, disability, or any other status protected by law -- that excludes an individual from participation in, denies the individual the benefits of, treats the individual differently or otherwise adversely affects a term or condition of an individual's employment, education, living environment or participation in an educational program or activity. This includes failing to provide reasonable accommodation, consistent with state and federal law, to persons with disabilities.

### **Harassment**

A form of discrimination in which unwelcome verbal, written, or physical conduct is directed toward an individual on the basis of his or her protected characteristics or statuses, by any member of the campus community. Harassment does not have to include intent to harm, be directed at a specific target, or involve repeated incidents.

### **Sexual Harassment**

A form of discrimination based on sex. It is defined as unwelcome sexual advances, requests for sexual favors, or other conduct of a sexual nature including: verbal (e.g., specific demands for sexual favors, sexual innuendoes, sexually suggestive comments, jokes of a sexual nature, sexual propositions, or sexual threats); nonverbal (e.g., sexually suggestive emails, other writings, articles or documents, objects or pictures, graphic commentaries, suggestive or insulting sounds or gestures, leering, whistling, or obscene gestures); or physical (e.g., touching, pinching, brushing the body, any unwelcome or coerced sexual activity, including sexual assault). Sexual harassment, including sexual assault, can involve persons of the same or different sexes. Sexual harassment may also include sex-based harassment directed toward stereotypical notions of what is female/feminine v. male/masculine or a failure to conform to those gender stereotypes.

#### **This policy prohibits the following types of sexual harassment:**

- A. **Term or condition of employment or education:** This type of sexual harassment (often referred to as "quid pro quo" harassment) occurs when the terms or conditions of employment, educational benefits, academic grades or opportunities, living environment or participation in a Richard Bland College activity are conditioned upon, either explicitly or implicitly,

submission to or rejection of unwelcome sexual advances or requests for sexual favors, or such submission or rejection is a factor in decisions affecting that individual's employment, education, living environment, or participation in a Richard Bland College program or activity.

B. **Hostile environment:** Acts that create a hostile environment, as defined below.

- a. Hostile environment may be created by oral, written, graphic or physical conduct that is sufficiently severe, persistent or pervasive and objectively offensive that it interferes with, limits or denies the ability of an individual to participate in or benefit from educational programs, services, opportunities, or activities or the individual's employment access, benefits or opportunities. Mere subjective offensiveness is not enough to create a hostile environment. In determining whether conduct is severe, persistent or pervasive, and thus creates a hostile environment, the following factors will be considered: (a) the degree to which the conduct affected one or more individuals' education or employment; (b) the nature, scope, frequency, duration, and location of the incident(s); (c) the identity, number, and relationships of **persons involved**; (d) the perspective of a "reasonable person" in the same situation as the person subjected to the conduct, and (e) the nature of higher education.

C. **Sexual misconduct:** includes sexual assault, sexual exploitation, dating violence, domestic violence, and stalking.

- a. **Sexual assault** is non-consensual contact of a sexual nature. It includes any sexual contact when the victim does not or is unable to consent through the use of force, fear, intimidation, physical helplessness, ruse, impairment or incapacity (including impairment or incapacitation as a result of the use of drugs or alcohol, knowingly or unknowingly); intentional and non-consensual touching of, or coercing, forcing, or attempting to coerce or force another to touch, a person's genital area, groin, inner thigh, buttocks or breast; and non-consensual sexual intercourse, defined as anal, oral or vaginal penetration with any object.
  1. **Consent** is knowing, voluntary and clear permission by word or action, to engage in mutually agreed upon sexual activity. Silence does not necessarily constitute consent. Past consent to sexual activities, or a current or previous dating relationship, does not imply ongoing or future consent. Consent to some sexual contact (such as kissing or fondling) cannot be presumed to be consent for other sexual activity (such as intercourse). The existence of consent is based on the totality of the circumstances, including the context in which the alleged incident occurred.
- b. **Sexual exploitation** occurs when a person takes non-consensual or abusive sexual advantage of another for anyone's advantage or benefit other than the person being exploited, and that behavior does not

meet the definition of sexual assault. Sexual exploitation includes prostituting another person, non-consensual visual or audio recording of sexual activity, non-consensual distribution of photos or other images of an individual's sexual activity or intimate body parts with an intent to embarrass such individual, non-consensual voyeurism, knowingly transmitting HIV or an STD to another, or exposing one's genitals to another in non-consensual circumstances.

- c. **Dating violence** is violence committed by a person who is or has been in a social relationship of a romantic or intimate nature with the victim. A social relationship of a romantic or intimate nature means a relationship which is characterized by the expectation of affection or sexual involvement between the parties. The existence of such a relationship shall be determined based on a 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 can be a single event or a pattern of behavior that includes, but is not limited to, sexual or physical abuse. Dating violence does not include acts covered under the definition of domestic violence.
- d. **Domestic violence** is a felony or misdemeanor crime of violence committed: (i) by a current or former spouse or intimate partner of the victim; (ii) by a person with whom the victim shares a child in common; (iii) by a person who is cohabitating with or has cohabitated with the victim as a spouse or intimate partner; (iv) by a person similarly situated to a spouse of the victim under the law of the Commonwealth of Virginia; or (v) by any other person against an adult or youth victim who is protected from that person's acts under the domestic or family laws of the Commonwealth of Virginia. Domestic violence can be a single event or a pattern of behavior that includes, but is not limited to, sexual or physical abuse.
- e. **Stalking** is engaging in a course of conduct directed at a specific person that would cause a reasonable person to: (i) fear for his or her safety or the safety of others; or (ii) suffer substantial emotional distress, meaning significant mental suffering or anguish that may, but does not necessarily, require medical or other professional treatment or counseling. A "course of conduct" means two or more acts, including, but not limited to, acts in which the stalker directly, indirectly, or through third parties, by any action, method, device, or means, follows, monitors, observes, surveys, threatens, or **communicates to or about, a person, or interferes with a person's property.**

## **VII. Policy Implementation**

- A. Retaliation: Any form of retaliation, including intimidation, threats, harassment, and other adverse action taken or threatened against any complainant or person reporting or filing a complaint alleging discrimination,

sexual harassment, or sexual misconduct or any person cooperating in the investigation of allegations of discrimination, sexual harassment, or sexual misconduct to include testifying, assisting or participating in any manner in an investigation pursuant to this policy and the Discrimination Grievance Procedures is strictly prohibited by this policy. Action is generally deemed adverse if it would deter a reasonable person in the same circumstances from opposing practices prohibited by this policy. Retaliation may result in disciplinary or other action independent of the sanctions or interim measures imposed in response to the underlying allegations of discrimination, sexual harassment or sexual misconduct.

B. Reporting

- a. Conduct in violation of this policy shall be reported promptly by all students, employees, visitors, or contractors. The Richard Bland College Title IX Coordinator is responsible for overseeing the investigation of all reports of alleged discrimination, sexual harassment, or sexual misconduct in accordance with the Discrimination Grievance Procedures. Employees receiving such reports or complaints should immediately notify the Title IX Coordinator and should not undertake any independent efforts to determine whether or not the report or complaint has merit before reporting it to the Title IX Coordinator.
- b. The Richard Bland College Title IX Coordinator is Deanne N. Bell, Director of Human Resources and Compliance.
  - i. Contact information: Deanne N. Bell, 8311 Halifax Road, Petersburg, VA (Maze Hall, Room 109), (804) 731-9164, [dbell@rbcb.edu](mailto:dbell@rbcb.edu).
- c. Employees initiating a complaint must report violations of this policy to the Title IX Coordinator. In the alternative, reports of violations may be made to an employee's immediate supervisor or the President. Supervisors are required to forward reports of violation to the Title IX Coordinator without delay.
- d. Reports made by Students: Students should report violations of this policy to the Title IX Coordinator, the Dean of Students, the Dean of Faculty, or the Student Conduct Board. Note: Students are not restricted to reporting to student contacts and may report to anyone listed in this policy or any supervising staff or faculty member. Reports are required to be forwarded to the Title IX Coordinator.
- e. Student Conduct Board responsibility: Any member of the student conduct board receiving a report of alleged discrimination, sexual harassment, or sexual misconduct shall report it immediately to the Title IX Coordinator. No member of the student conduct board shall undertake any independent efforts to determine whether or not the report or complaint has merit or can be substantiated before reporting it to the Title IX Coordinator.
- f. Reports made by visitors or contractors: Visitors, including visiting students, and employees of contractors working on campus should report violations of this policy to the Title IX Coordinator.

g. Mandatory employee reporting: All Richard Bland College employees in receipt of a complaint or report of discrimination, sexual harassment, or sexual misconduct, must report any information regarding the alleged incident to the Title IX Coordinator without delay. No Richard Bland College employee shall undertake any independent efforts to determine whether or not the report or complaint has merit or can be substantiated before reporting it to the Title IX Coordinator. Any employee with reason to suspect abuse or neglect of a minor must immediately make a report to the local police department of the county or city where the child resides or where the abuse or neglect is believed to have occurred, or if neither is known then to the **Department of Social Services' toll-free child abuse and neglect hotline** at 1-800-552-7096.

C. Criminal Reporting: If a victim is in immediate danger or needs immediate medical attention, contact 911 (emergency boxes on campus connect directly to 911) or the Richard Bland Campus Police at (804) 863-4085. Some conduct in violation of this policy may also be a crime under Virginia law. Individuals are encouraged to report incidents of sexual misconduct to law enforcement, even if the reporting individual is not certain if the conduct constitutes a crime.

D. Confidentiality and Anonymous Reporting: Richard Bland College officials have varying reporting responsibilities under state and federal law. If a victim of conduct in violation of this policy or another reporting party wishes to make a confidential report, it must be made to the RBC Director of Counseling, physicians, or a local hospital facility. These individuals will encourage victims to make a report to Richard Bland College police, the Title IX Coordinator, or local law enforcement. Students and student organizations cannot keep reports confidential, even if working with officials above that are able to maintain confidentiality of reports. Other faculty and staff receiving reports of conduct in violation of this policy are mandated reporters but will seek to maintain privacy to every extent possible without compromising **Richard Bland College's ability to investigate and respond in accordance with applicable law and regulations**. The Title IX Coordinator may be limited in the ability to investigate an anonymous report unless sufficient information is furnished to enable the Title IX Coordinator to conduct a meaningful and fair investigation. If the complainant requests confidentiality or that the complaint not be pursued, Richard Bland College may also be limited in the actions it is able to take and its ability to respond.

E. Timely Warnings: Richard Bland College is required by federal law to issue timely warnings for reported incidents that pose a substantial threat of bodily harm or danger to members of the campus community. Richard Bland College will ensure, to every extent possible, that a victim's name and other identifying information is not disclosed, while still providing enough information for members of the campus community to make decisions to address their own safety in light of the potential danger.

F. Sexual Misconduct Survivor/Victim Guidance and Services

- a. Richard Bland College will assist sexual misconduct survivors/victims in a supportive manner, implementing the procedures set out herein. Because of the potential seriousness and sensitivity of the investigations involved, it is important to undertake these investigations properly. Preserving the evidence is often a key step of successful investigation of alleged sexual misconduct.
- b. Recommended guidance for anyone who has experienced sexual misconduct:
  - i. Go to a safe place.
  - ii. For your safety and confidential care, report promptly to the nearest medical facility/emergency room. The medical facility/emergency room may have a Sexual Assault Advocate available to you upon request. Physical evidence may be usable if proper procedures are followed for evidence collection within 96 hours of the assault.
  - iii. Contact a trusted friend or family member. For professional and confidential counseling support, please contact any of the following:  
Director of Counseling, (804) 862-6263; or, James House, 6610 Commons Dr. Suite C, Prince, VA 23875

Among other services, the James House offers survivors a 24-hour toll-free number [(804)458-2840], emergency shelter, crisis intervention, counseling, applicable referrals, and court advocacy. In addition, you can find an agency referral guide on the RBC website, <http://www.rbc.edu/wp-content/uploads/2015/10/Community-Resource-and-Referral-Guide.pdf>

- iv. It is your right to have evidence collected and retained anonymously by law enforcement while you consider whether to pursue criminal charges. Evidence preservation is enhanced in the following ways:
  1. Do not wash your hands, bathe, or douche. Do not urinate, if possible.
  2. Do not eat, blow your nose, drink liquids, smoke, or brush your teeth if oral contact took place.
  3. Keep the clothing worn when the assault took place. If you change clothing, place the worn clothing in a paper bag (evidence deteriorates in plastic).
  4. Do not destroy any physical evidence that may be found in the vicinity of the assault by cleaning or straightening the location of the crime. You should not clean or straighten the location of the crime until law enforcement officials have had an opportunity to collect evidence.
  5. Tell someone all the details you remember or write them down as soon as possible.

6. Maintain text messages, pictures, online postings, video and other documentary or electronic evidence that may corroborate a complaint.
  - c. There is no time limit for filing a complaint of sexual misconduct. However, complainants should report as soon as possible to maximize **Richard Bland College's ability to respond. Failure to report promptly** could result in the loss of relevant evidence and impair Richard Bland College's ability to adequately respond to the allegations.
  - d. The victim shall have the right to file a complaint with law enforcement and the option to be assisted by the Title IX Coordinator and other Richard Bland College authorities in notifying the proper law enforcement authorities of the alleged sexual misconduct.
  - e. Resources for Victims of Sexual Misconduct
    - i. Any student or visiting student who reports sexual misconduct to the Title IX Coordinator or Director of Counseling will receive an information card outlining resources and options. Richard Bland College Police protocol includes coordination with James House.
    - ii. Richard Bland College employees shall advise victims of the resources available with the James House and encourage use of these resources.
    - iii. Students and visiting students will be assisted with available options for changing academic, transportation, parking, work and living arrangements after alleged sexual misconduct. Safety arrangements such as no-contact orders and escorts are also **available as needed. See Section H "Interim Measures"** discussed below.
- G. Title IX Coordinator Oversight: The Title IX Coordinator oversees the investigation and resolution of all reports by students, visiting students, faculty and administrative staff of alleged discrimination, sexual harassment or sexual misconduct in accordance with the Discrimination Grievance Procedures. For complaints involving alleged violations of this policy by a student or students, the Title IX Coordinator may delegate certain investigative responsibilities to the Student Conduct Board while maintaining oversight of the investigation. See the Discrimination Grievance Procedures for further information regarding coordination with the Title IX Coordinator. Reports of discrimination by the Title IX Coordinator should be made to the President.
- H. Interim Measures: Richard Bland College may take interim measures, as necessary to assist or protect the complainant during the investigation and resolution of complaints of discrimination and any law enforcement investigation, to address the safety of the complainant or any member of the campus community, and to avoid retaliation. If, in the judgment of the Title IX Coordinator or other Richard Bland College leadership, the safety or well-being of any member of the campus community may be jeopardized by the presence on campus of the accused individual, the Title IX Coordinator may

provide interim remedies to address the short-term effects of harassment, discrimination and/or retaliation and to prevent further violations. Richard Bland College will seek the consent of the complainant before taking interim measures to the greatest degree possible. Interim measures may include, but are not necessarily limited to, changes in classroom schedules or housing arrangement, no-contact order, bar from campus, escorts on campus, referral and coordination of counseling and health services, and modification of work or academic requirements. Richard Bland College may temporarily reassign or place on administrative leave an employee alleged to have violated this policy. In such situation the employee will be given the opportunity to meet with the Title IX Coordinator prior to such action being imposed, or as soon thereafter as reasonably possible, to show cause why the action should not be implemented.

- I. Sanctions: If it is determined that conduct in violation of this policy has occurred, sanctions will be determined in accordance with the Discrimination Grievance Procedures. Consequences for violating this policy will depend on the facts and circumstances of each particular situation, the frequency and severity of the offense, and any history of past conduct in violation of this policy. Sanctions may include penalties up to and including dismissal/expulsion for students and termination for employees. In addition to sanctions that may be imposed on an individual found in violation of this policy, Richard Bland College will take steps to prevent recurrence of any sexual misconduct, including sexual violence, and to remedy discriminatory effects on the complainant and others, if appropriate.
- J. Student Amnesty: Ensuring the safety of students who report violations of **this policy is Richard Bland College's primary concern. In order to facilitate** reporting, Richard Bland College will, with the following limited exceptions, provide amnesty to a student who reports an incident in violation of this policy, directed toward that student or another student, for minor disciplinary infractions, such as underage drinking, at the time of the incident. Amnesty may not be offered if (1) the minor disciplinary infraction places or placed the health or safety of any other person at risk or (2) the student who committed the disciplinary infraction previously has been found to have committed the same disciplinary infraction. If amnesty is provided, no conduct proceedings or conduct record will result for minor disciplinary infractions. Amnesty for minor disciplinary infractions also may be offered to students who intervene to help others before a violation of this policy occurs and students who receive assistance or intervention. Abuse of amnesty requests may result in a decision by the Division of Student Affairs not to extend amnesty to the same student repeatedly. The Division of Student Affairs shall maintain records regarding the provision of amnesty for at least five (5) years. Infractions that constitute honor offenses shall not be considered minor policy violations for which amnesty may be offered under this provision.
- K. Education and Awareness

- a. For more information about sexual misconduct and resources available in the local community, please visit the James House website at <http://thejameshouse.org/>
- b. The Title IX Coordinator coordinates an education, training and awareness program on discrimination, sexual harassment, and sexual misconduct for students and employees, including training on primary prevention, bystander intervention, risk reduction, consent and other pertinent topics.

L. Academic Freedom and Free Speech: This policy does not allow curtailment or censorship of constitutionally protected expression, which is valued in higher education and by Richard Bland College. In addressing all complaints and reports of alleged violations of this policy, Richard Bland College will take all permissible actions to ensure the safety of students and employees while complying with any and all applicable guidance regarding free speech rights of students and employees. This policy does not in any way apply to curriculum and curriculum decisions or abridge the use of particular textbooks or curricular materials.

## **Policy D.2.**

### **Policy Name: Harassment Grievance Procedures**

### **Responsibility for Maintenance: Chief Human Resource Officer**

#### **I. Policy Statement**

Richard Bland College is committed to providing an environment that emphasizes the dignity and worth of every member of its community and that is free from harassment and discrimination based on race, sex, color, national origin, religion, age, veteran status, sexual orientation, gender identity, pregnancy, genetic information, against otherwise qualified persons with disabilities, or based on any other status protected by law. In pursuit of this goal, any question of impermissible discrimination on these bases will be addressed with efficiency and energy and in accordance with this policy. These Discrimination Grievance Procedures also address complaints or reports of retaliation against those who have opposed practices prohibited by this policy, those who have filed complaints or reports under this policy, and those who have testified or otherwise participated in enforcement of this policy.

#### **II. Reason for Policy**

These procedures provide a prompt and equitable resolution for complaints or reports of discrimination based on race, sex, color, national origin, religion, age, veteran status, sexual orientation, gender identity, pregnancy, genetic information, against otherwise qualified persons with disabilities, or based on any other status protected by law, including complaints alleging sexual harassment or sexual misconduct prohibited by Richard Bland College's policy on Discrimination, Harassment, Sexual Misconduct, and Retaliation ("Discrimination Policy"). Any person who believes he or she has been subjected to discrimination or harassment on any of these bases may file a complaint with Richard Bland College as outlined in these procedures. These procedures also address any complaints or reports of retaliation against individuals who have filed complaints or reports of discrimination, who have opposed discriminatory practices, and those who have testified or otherwise participated in investigations or proceedings arising from complaints or reports of discrimination.

#### **III. Applicability of the Policy**

This policy applies to on-campus conduct involving students, employees, faculty and staff, visitors to campus (including, but not limited to, students participating in camp programs, non-degree seeking students, exchange students, and other students taking courses or participating in programs at Richard Bland College), and contractors working on campus who are not Richard Bland College employees, and to students, visiting students, employees, faculty and staff participating in Richard Bland College-sponsored activities off campus. This policy also is applicable to any conduct that occurs off campus that has continuing effects that create a hostile environment on campus. Allegations of on-campus or off-campus violations of this policy should be reported to the Title IX Coordinator in accordance with the guidance below and the Discrimination Grievance Procedures.

#### **IV. Related Documents**

April 4 "Dear Colleague" Letter on Sexual Violence, U.S. Department of Education, (April 4, 2011)

Title IX of the Civil Right Act of 1964

<http://www.justice.gov/crt/about/cor/coord/titlevi.php>

#### **V. Contacts**

<b>Policy Name</b>	<b>Office</b>	<b>Title</b>	<b>Telephone Number</b>	<b>Email</b>
<b>Title IX Compliance</b>	Human Resources & Compliance	Director of Human Resources & Compliance	(804) 862-6100 ext 6208	dbell@rbc.edu

#### **VI. Definitions**

1. Discrimination is inequitable and unlawful treatment based on an individual's protected characteristics or statuses -- race, sex, color, national origin, religion, age, veteran status, sexual orientation, gender identity, pregnancy, genetic information, disability, or any other status protected by law -- that excludes an individual from participation in, denies the individual the benefits of, treats the individual differently or otherwise adversely affects a term or condition of an individual's employment, education, living environment or participation in an educational program or activity. This includes failing to provide reasonable accommodation, consistent with state and federal law, to persons with disabilities.
2. Harassment is a form of discrimination in which unwelcome verbal, written, or physical conduct is directed toward an individual on the basis of his or her protected characteristics or statuses, by any member of the campus community. Harassment does not have to include intent to harm, be directed at a specific target, or involve repeated incidents.
3. Sexual harassment is a form of discrimination based on sex. It is defined as unwelcome sexual advances, requests for sexual favors, or other conduct of a sexual nature including: verbal (e.g., specific demands for sexual favors, sexual innuendoes, sexually suggestive comments, jokes of a sexual nature, sexual propositions, or sexual threats); nonverbal (e.g., sexually suggestive emails, other writings, articles or documents, objects or pictures, graphic commentaries, suggestive or insulting sounds or gestures, leering, whistling, or obscene gestures); or physical (e.g., touching, pinching, brushing the body, any unwelcome or coerced sexual activity, including sexual assault). Sexual harassment, including sexual assault, can involve persons of the same or different sexes. Sexual harassment may also include sex-based harassment directed toward stereotypical notions of what is female/feminine v. male/masculine or a failure to conform to those gender stereotypes.

## **VII. Procedures**

### **Complaints and Reporting**

Complaints and reports of discrimination, sexual harassment, and sexual misconduct should be made to **Richard Bland College's** Title IX Coordinator. The Title IX Coordinator is responsible for overseeing the investigation of all reports of alleged discrimination, sexual harassment, or sexual misconduct and is trained to help individuals who file complaints find resources, to investigate reported incidents, and to respond appropriately to conduct alleged to be in violation of the Discrimination Policy. Individuals receiving reports or complaints of discrimination, sexual harassment, or sexual misconduct should immediately notify the Title IX Coordinator and should not undertake any independent efforts to determine whether or not the report or complaint has merit before reporting it to the Title IX Coordinator.

The Richard Bland College Title IX Coordinator is Deanne N. Bell. She is located at 8311 Halifax Road, Maze Hall, Room 109, Petersburg, VA 23805. Her contact number is (804) 862-6100 X6208. Reports of conduct in violation of the Discrimination Policy should be made without undue delay after the incident and may be made orally or in writing, including by electronic mail to any of the individuals identified above. The Title IX Coordinator also will accept, without comment or need for explanation, a sealed envelope addressed to "Title IX Coordinator." The envelope, at a minimum, need only contain a piece of paper with the name and room number or phone number of the individual wishing to make a report. As will be the case with all reports, however made, the reporting individual will be contacted promptly, but in no case more than three calendar days from the date of the report, for an interview with the Title IX Coordinator. Notwithstanding the forgoing, individuals who believe they have been the subject of conduct in violation of the Discrimination Policy are encouraged to make detailed written statements of the facts, including the name(s) of the offending individual(s), and any witness(es), promptly after an incident.

### **The Role of the Title IX Coordinator**

The Title IX Coordinator is charged with coordinating the **Richard Bland College's** compliance with federal civil rights laws. The Title IX Coordinator does not serve as an advocate for either the complainant or the respondent. The Title IX Coordinator will explain to all identified parties the procedures outlined below, including confidentiality. As appropriate, the Title IX Coordinator will provide all identified parties with information about obtaining medical and counseling services, making a criminal report, information about receiving advocacy services including those offered by James House and guidance on other Richard Bland College and community resources. The Title IX Coordinator will offer to coordinate with other Richard Bland College leadership, when appropriate, to implement interim measures as described below. The Title IX Coordinator will explain to all involved parties the process of a prompt, adequate, reliable, and impartial investigation, including the opportunity for both complainant and respondent to identify witnesses and provide other evidence. The Title IX Coordinator will explain to all identified parties the right to have a personal advisor present and to review and respond to the allegations and evidence. The Title IX Coordinator will also explain to the parties

and witnesses that retaliation for reporting alleged discrimination, sexual harassment or sexual misconduct, or participating in an investigation of an alleged violation, is strictly prohibited and that any retaliation should be reported immediately and will be promptly addressed.

### **Criminal Reporting and Coordination**

The Title IX Coordinator will make all complainants aware of the right also to file a complaint with the Richard Bland College Police or local law enforcement. Richard Bland College will comply with all requests by the Richard Bland College Police Department or local law enforcement for cooperation in investigations. Such cooperation may require the Title IX Coordinator to temporarily suspend the fact-finding aspect of a Title IX investigation detailed in the procedures below while the Richard Bland College Police or the local law enforcement agency gathers evidence. The Title IX Coordinator's Office will promptly resume its Title IX investigation as soon as notified by the Richard Bland College Police or law enforcement agency that it has completed the evidence gathering process. Otherwise, the Title IX investigation will not be altered or precluded on the grounds that criminal charges involving the same incident have been filed or that charges have been dismissed or reduced.

### **Confidentiality, Anonymity and Requests Not to Pursue Title IX Investigation**

Richard Bland College officials have varying reporting responsibilities under state and federal law. If a victim of conduct in violation of this policy or another reporting party wishes to keep a report confidential, it must be made to the Director of Counseling. These individuals will encourage victims to make a report to the Richard Bland College Police, the Title IX Coordinator, or local law enforcement. Students and student organizations cannot keep reports confidential, even if working with officials above that are able to maintain confidentiality of reports. Other Richard Bland College officials receiving reports of conduct in violation of this policy are mandated reporters but will maintain privacy to every extent possible without compromising the **Richard Bland College's** ability to investigate and respond in accordance with applicable law and regulations. The Title IX Coordinator may be limited in the ability to investigate an anonymous report unless sufficient information is furnished to enable the Title IX Coordinator to conduct a meaningful and fair investigation. If the complainant requests confidentiality or that an investigation not be conducted, the Richard Bland College may be limited in the actions it is able to take and its ability to respond while respecting the request. The complainant will be asked to sign a statement stating a desire for confidentiality or that an investigation not be pursued and the Title IX Coordinator will take all reasonable steps to respond to the complaint consistent with the request. The Title IX Coordinator will consider the reasons for the request, including concerns about continued safety of the person reportedly harmed and members of the campus community. Factors that also will be considered in weighing a request by a complainant for confidentiality or not to proceed with a formal investigation include the seriousness of the alleged violation, the respective ages and positions of the complainant and the respondent, whether there have been other complaints against the respondent, and the respondent's right to receive information. In cases in which

a complainant requests confidentiality or that an investigation not be pursued, but the Title IX Coordinator has concerns that not conducting an informal or formal investigation might endanger the health or safety of members of the campus community, the Title IX Coordinator will initiate confidential consultation with appropriate individuals who may include, as appropriate, the President, the Dean of Faculty, the Richard Bland College Chief of Police, the Threat Assessment Team, Director of Counseling and Legal Counsel. The Title IX Coordinator will make the ultimate decision on whether to conduct an informal or a formal investigation or to respond in another manner, including use of interim measures described below.

### **Interim Measures**

Richard Bland College may take interim measures, as necessary to assist or protect the complainant during investigations of alleged discrimination and the resolution process and any law enforcement investigation, to address the safety of the complainant or any member of the campus community, and to avoid retaliation. If, in the judgment of the Title IX Coordinator or other Richard Bland College leadership, the safety or well-being of any member of the campus community may be jeopardized by the presence on-campus of the accused individual, the Title IX Coordinator may provide interim remedies to address the short-term effects of harassment, discrimination and/or retaliation and to prevent further violations. Richard Bland College will seek the consent of the complainant before taking interim measures to the greatest degree possible. Interim measures may include, but are not necessarily limited to, changes in classroom schedules or housing arrangement, no-contact order, bar from campus, escorts on campus, referral and coordination of counseling and health services, and modification of work or academic requirements. Richard Bland College may temporarily reassign or place on administrative leave an employee alleged to have violated the Discrimination Policy. In such situation the employee will be given the opportunity to meet with the Title IX Coordinator prior to such action being imposed, or as soon thereafter as reasonably possible, to show cause why the action should not be implemented.

### **Timely Warnings**

Richard Bland College is required by federal law to issue timely warnings for reported incidents that pose a substantial threat of bodily harm or danger to members of the campus community. Richard Bland College will ensure, to every extent possible, that a victim's name and other identifying information is not disclosed, while still providing enough information for members of the campus community to make decisions to address their own safety in light of the potential danger.

### **Coordination with the Student Conduct Board**

Richard Bland College's Title IX Coordinator is responsible for overseeing all complaints of discrimination and identifying and addressing any pattern or systemic problems that arise during the review of such complaints. Student Conduct Board is charged with upholding **the College's Standards of Conduct to provide an** environment conducive to reflecting the mission, vision, and values of the institution through the resolution of student conduct incidents and education.

Any member of the Student Conduct Board receiving a report of alleged discrimination, sexual harassment, or sexual misconduct shall report it without delay to the Title IX Coordinator. No member of the Student Conduct Board shall undertake any independent efforts to determine whether or not the report or complaint has merit before reporting it to the Title IX Coordinator. The Title IX Coordinator's Office shall conduct all investigations of allegations of sexual violence in accordance with the procedures below. At the sole discretion of the Title IX Coordinator, the Student Conduct Board may be tasked with conducting investigations of complaints of discrimination and harassment while under the oversight of the Title IX Coordinator. The Student Conduct Board shall report the findings of investigations of discrimination and harassment to the Title IX Coordinator. At the conclusion of the investigation, the Title IX Coordinator shall recommend a penalty, if any, to the Chief Student Affairs Officer. In the alternative, the Title IX Coordinator, may, in cases other than those involving allegations of sexual violence, refer the matter for adjudication to the Dean of Students to resolve the matter through the student judicial process. All sanctions recommended through the student judicial process for complaints alleging discrimination or sexual harassment shall be coordinated with the Title IX Coordinator.

### **Investigation and Resolution**

There are two possible methods for investigation and resolution of a complaint alleging violations of the Discrimination Policy: formal and informal resolution. For alleged violations of the Discrimination Policy other than sexual misconduct, the complainant and the respondent have the option to proceed under an informal procedure, when deemed permissible by the Title IX Coordinator. The Title IX Coordinator will explain the informal and formal procedures to both the complainant and the respondent, if known. In all cases, Richard Bland College will ensure there is no actual conflict of interest in the investigation and resolution of complaints and will strive to avoid the appearance of conflict of interest.

#### **A. Informal investigation and resolution**

If the complainant, the respondent, and the Title IX Coordinator all agree that an informal investigation and resolution should be pursued, the Title IX Coordinator staff shall attempt to facilitate a resolution that is agreeable to the parties. Under this procedure, the Title IX Coordinator will conduct a preliminary investigation only to the extent fact-finding is needed to resolve the conflict and to protect the interests of the parties, Richard Bland College, and the campus community. Both parties will be permitted to request witnesses to be interviewed by the Title IX Coordinator and other evidence to be considered in the preliminary investigation. Typically, a preliminary investigation will be completed within 30 days of receipt of notice. If extension of the preliminary investigation beyond 30 days is necessary, all parties will be notified of the expected resolution time frame. If at any point during this informal investigation and resolution procedure, the complainant, the respondent, or the Title IX Coordinator wish to suspend the informal procedure and proceed through the formal grievance procedure, such request will be granted. Any resolution of a complaint through the informal procedure must adequately address the concerns of the complainant, as well as the rights of the respondent and the responsibility of Richard Bland College to prevent, address, and remedy alleged

violations of the Discrimination Policy. Informal resolution remedies might include providing training, providing informal counseling to an individual whose conduct, if not ceased, could rise to the level of discrimination or harassment, confidential briefing of the respondent's work supervisor, use of penalties through the student judicial system, or other methods. All parties will be provided written notification of the resolution of the complaint through the informal procedures, including whether the preliminary investigation substantiated discrimination or harassment by a preponderance of the evidence and a description of **Richard Bland College's** response. There shall be no right of appeal afforded to the complainant or the respondent following informal investigation and resolution.

## **B. Formal investigation and resolution**

1. A formal complaint may be submitted either in written format or through a verbal interview of the complainant by the Title IX Coordinator regarding the events and circumstances underlying the complaint. The complainant is not required to submit a written complaint to the Title IX Coordinator to commence an investigation. In the case of a third party notification, the Title IX Coordinator will contact the alleged victim promptly, and in no case later than three calendar days from the date of the complaint. The complaint may be supplemented by additional supporting documents, evidence, or recommendations of witnesses to be interviewed during the course of the investigation. The complainant must also disclose if a formal complaint has been filed with another Richard Bland College, state, or federal entity for the same offense.
2. The Title IX Coordinator will discuss the complaint with the complainant, and the respondent as appropriate, including providing information about the formal investigation procedure and other resources. The Title IX Coordinator will explain to the parties that each has the opportunity to provide evidence and to suggest witnesses to be interviewed during the course of the investigation.
3. The Title IX Coordinator will consider whether interim measures and involvement of other Richard Bland College leadership is appropriate. The Title IX Coordinator also will confirm that the matter involves an alleged violation of the Discrimination Policy, thereby conferring jurisdiction on the Title IX Coordinator's office. If the Title IX Coordinator determines that the Title IX Coordinator's office does not have jurisdiction, the Title IX Coordinator will offer to assist the complainant and, as appropriate, the respondent, in finding appropriate on-campus and off-campus resources to address the issues.
4. The Title IX Coordinator will conduct a prompt, adequate, reliable, and impartial investigation of the complaint. Typically an investigation, not including the time necessary for potential appeals, will be completed within 60 days of receipt of notice. If extension of the investigation beyond 60 days is necessary, all parties will be notified of the expected time frame. Only the Title IX Coordinator, a trained investigator assigned to the Title IX Coordinator's office, or a trained member of the Student Conduct Board shall conduct the investigation. All investigations of complaints alleging violations of the Discrimination Policy shall be overseen by the Title IX Coordinator.
5. Both complainant and respondent will have the same opportunity to review and respond to evidence obtained during an investigation and will be afforded the same

opportunity to review and provide comment to the investigator about the written investigation report before it is finalized.

6. The Title IX Coordinator will determine whether there is a preponderance of the evidence to substantiate the complaint of an alleged violation of the Discrimination Policy. A respondent will not be found in violation of the Discrimination Policy absent a finding of preponderance of evidence that the violation occurred. The "preponderance of the evidence" standard requires that the weight of the evidence, in totality, supports a finding that it is more likely than not that the alleged misconduct occurred.

7. In determining whether alleged harassment has created a hostile environment, the Title IX Coordinator shall consider not only whether the conduct was unwelcome to the complainant, but also whether the conduct was severe or pervasive and whether a reasonable person similarly situated to the complainant would have perceived the conduct to be objectively offensive.

8. The Title IX Coordinator shall prepare a written investigation report, which shall be provided to both the complainant and the respondent concurrently. In most cases the written investigation report shall be provided to both parties within 60 days of notice of the allegation. If extension of the time frame for the Title IX Coordinator to finalize the investigation report beyond 60 days is necessary, all parties will be notified of the expected time frame for completion of the investigation report.

9. If the Title IX Coordinator finds by a preponderance of the evidence that a violation of the Discrimination Policy did not occur, the matter will be documented as closed. The Complainant may appeal the finding to the Discrimination Appeals Committee under the procedure described below.

10. If the Title IX Coordinator finds by a preponderance of the evidence that violation of the Discrimination Policy did occur, the Title IX Coordinator's written report will contain recommendations for steps that should be taken to prevent recurrence of any such violation and, as appropriate, remedies for the complainant and the community. The written report also will contain the Title IX Coordinator's recommendation on sanctions. If interim measures as described above have been taken, the Title IX Coordinator shall include a recommendation regarding continuation, suspension or modification of any such interim measures. The Title IX Coordinator shall provide the written report to both the complainant and respondent, in accordance with subsection 8, above, including the steps the Title IX Coordinator has recommended to eliminate a hostile environment, if one was found to exist, and to prevent its recurrence. Notwithstanding any other provision of these procedures, the respondent shall not be provided information about the individual remedies offered or provided to the complainant, but such information shall be provided to the complainant. The respondent and the complainant will be advised of their right to appeal any finding or recommended sanction to the Discrimination Appeals Committee. The appeal procedure outlined below will also be explained. If the respondent does not contest the finding or recommended sanction, the respondent shall sign a statement acknowledging no contest to the finding and the recommended sanction. The completed investigation will be provided to the appropriate individual to determine and impose appropriate sanctions, as described below.

## **Sanctions**

1. Sanctions for students will be determined by the Dean of Faculty in accordance with student regulations and policies and, where necessary or appropriate, in consultation with the President. Sanctions may include, but are not limited to, disciplinary penalties described in the Student Handbook.

Sanctions for teaching and research faculty will be determined by the Dean of Faculty, in consultation with the President and in accordance with the Faculty Handbook. Sanctions for non-teaching faculty and other non-classified staff shall be determined by the President, in accordance with the applicable Richard Bland College Employee Handbook. Possible sanctions include, but are not limited to counseling, training, reassignment, or the initiation of termination.

3. Sanctions for classified employees will be determined by the Director of Human Resources and Compliance **in accordance with the Commonwealth's Standards of Conduct Policy**. Sanctions that may be imposed by Richard Bland College include, but are not limited to verbal counseling, additional training, and issuance of a Written Notice, suspension, or termination of employment.

4. Contractors shall assign for duty only employees acceptable to Richard Bland College. Richard Bland College reserves the right to require the Contractor to remove from campus any employee who violates the Discrimination Policy.

5. Visitors (including, but not limited to, students participating in camp programs, non-degree seeking students, exchange students, and other students taking courses or participating in programs at Richard Bland College), who violate the Discrimination Policy will be directed to immediately leave campus and may be subject to a permanent bar from campus.

6. A determination regarding the imposition of sanctions shall be made within 14 calendar days of the date of the Title IX Coordinator's final investigative report. If extension of the time frame for sanctions to be imposed beyond 14 days is necessary, all parties will be notified of the expected time for completion of the investigation report. Respondent shall be informed in writing of any sanctions imposed for violation of the Discrimination Policy by the individual imposing the sanctions within five calendar days of the determination. The Title IX Coordinator shall be provided a copy of such written notification. The Title IX Coordinator will disclose to the complainant within five calendar days of notification to respondent sanctions that directly relate to the complainant as permitted by state and federal law including the Federal Educational Rights and Privacy Act (FERPA) and the Virginia Freedom of Information Act. The Title IX Coordinator also will disclose in writing to the complainant the final results of a disciplinary proceeding involving the respondent with regard to an alleged forcible or non-forcible sex offense, act of stalking, domestic violence or dating violence on the complainant, as permitted by state and federal law including FERPA and the Virginia Freedom of Information Act.

## **Discrimination Appeals Committee**

### **1. Composition of the Committee**

The Discrimination Appeals Committee ("Committee") shall be comprised of three trained individuals: one faculty member to be nominated by the Dean of Faculty, one non-faculty member of the administration to be nominated by the President, and one classified employee to be nominated by the Director of Human Resources and Compliance. The President shall appoint members of the Committee and the Committee Chair. Committee members shall serve indefinitely at the pleasure of the President. The President may appoint one or more persons to serve on the Committee temporarily to fill a vacancy due to recusal or otherwise to ensure a full three-member Committee. The President has sole discretion to permanently remove members of the Committee for cause.

### **2. Appeal Procedure**

a. A complainant or respondent desiring to appeal the investigative findings of the Title IX Coordinator shall file a written request for appeal with the Title IX Coordinator within three (3) business days of receipt of the written investigation report along with information to support one or more of the following grounds for appeal:

- i. the Title IX Coordinator exhibited unfair bias which influenced the results of the investigation;
- ii. new evidence, unavailable at the time of the investigation, that could substantially impact the Title IX Coordinator's finding;
- iii. error in the conduct of the investigation that is of such magnitude as to deny fundamental fairness.
- iv. the sanctions recommended by the Title IX Coordinator are substantially outside the parameters or guidelines set by Richard Bland College for this type of offense or the cumulative conduct record of the respondent.

b. Within five (5) days of receipt of the written request for appeal, the Title IX Coordinator will notify the parties of the time and place of hearing before the Committee. Such hearing typically will be scheduled within fifteen (15) days of receipt of the request for appeal. If extension beyond fifteen (15) days is necessary, both parties will be notified of the expected time frame.

c. Within five (5) days of filing the request for appeal, the party appealing the Title IX Coordinator's findings (appellant) must submit a written statement that (i) identifies the names and addresses of witnesses that are requested to be called at the hearing; (ii) identifies and includes copies of any documents that will be used as evidence at the hearing; (iii) describes with specificity the portion of the Discrimination Policy allegedly violated and the grounds for appeal; and (iv) requests a specific remedy.

The non-appealing party (appellee) also may submit such information for the Committee's consideration. If the appellee chooses not to participate in the Committee hearing, the Title IX Coordinator will provide to the Committee within five (5) days of notification that the appellee will not participate in the hearing: (i) the written investigative report; (ii) the names and addresses of witnesses the Title IX Coordinator will call at the hearing; and (iii) identification and copies of any documents that will be submitted as evidence at the hearing. If the appellee provides notification less than five (5) days prior to the scheduled hearing that he

or she will not participate, the hearing shall be postponed to give the Title IX Coordinator a full five (5) days to provide the Committee the above information.

The Title IX Coordinator shall provide the written investigation report and all witness information and documents identified pursuant to this subsection to the Committee and to all parties at least three (3) days prior to the hearing.

d. Both the appellant and the appellee may retain legal counsel at their own expense or designate a non-attorney advisor to accompany him or her at any meeting or proceeding in the appeal process. If either party has retained legal counsel or a non-attorney advisor, the party must immediately notify the Committee Chair of such representation. The role of counsel or the non-attorney advisor for the parties shall be limited to advice and consultation with the attorney's client and the client's witnesses. Neither counsel/advisor for the appellant nor counsel/advisor for the appellee shall be permitted to question witnesses, raise objections, or make statements or arguments to the Committee at the hearing. If either party is represented by legal counsel, Richard Bland College may be represented at the hearing by assigned legal counsel from the Office of the Attorney General, who will ensure that the rights of Richard Bland College and the parties are respected.

e. The Chair of the Committee shall preside over the hearing. The hearing will be a non-adversarial proceeding and the rules of evidence shall not be strictly applied. However, the Chair of the Committee may limit evidence or testimony that is not relevant to a determination of whether a violation of the Discrimination Policy occurred and whether the grounds for appeal are met by a preponderance of evidence. The hearing will be conducted in a fair and impartial manner. Both appellant and appellee, or the Title IX Coordinator if the appellee does not participate, will address the Chair of the Committee and not each other. The Chair will be the final decision-maker on all matters of procedure during the hearing. All hearings will be closed to the public.

f. The past sexual history or sexual character of a party to the complaint, complainant or respondent, with anyone other than each other, will not be admissible. Notwithstanding the above, demonstration of pattern, repeated, and/or predatory behavior by the respondent, in the form of previous findings in any Richard Bland College or judicial proceeding will be admissible. The parties will be notified in advance of the hearing if any information addressed by this paragraph is deemed admissible.

g. Within ten (10) days of the hearing, the Committee will submit a written decision to the parties, the Title IX Coordinator, and the President. The decision shall include: (i) a description of the appellant's grounds for appeal; (ii) whether such grounds are accepted or rejected and the rationale for such determination; (iii) the Committee's decision to uphold or reject the findings of the Title IX Coordinator and/or the recommended sanction and the rationale for such determination; (iv) if the Title IX Coordinator's findings and/or recommended sanction are rejected, the findings of the Committee and recommendations for resolution.

h. Within three (3) days of the Committee's decision, the President shall notify the Committee, the Title IX Coordinator, and the parties, in writing, of his decision relative to the findings and recommendations of the Committee. The decision of the President is final with no further right to appeal.

### **Documentation and record-keeping**

The Title IX Coordinator shall maintain, in a confidential manner, for at least ten (10) years paper or electronic files of all complaints, witness statements, documentary evidence, written investigation reports, resolutions, and appeal hearings and associated documents. The Title IX Coordinator will prepare a monthly summary of pending complaints that will be presented to the President and also will be retained for at least ten (10) years. Such summary will contain sufficient information to permit the Title IX Coordinator and the President to assess Richard Bland College's compliance with the requirements of Title IX.

## **Policy D.3.**

**Policy Name: Restrictions on Skateboard, Bicycle, and Rollerblade Use**

**Responsibility for Maintenance: Director of Public Safety and Chief of Police**

### **I. Policy Statement**

The purpose of this policy is to provide regulations for a safe and convenient environment for bicycles, skateboards and related wheeled transportation permitted on campus (e.g., in-line skates), while at the same time providing for the safety of all members of the campus community. These regulations do not apply to transportation for persons with disabilities (e.g., wheelchairs).

### **II. Reason for Policy**

This policy is in place to provide for the safety of our students, employees and visitors.

### **III. Applicability of the Policy**

This policy governs the use of bicycles, skateboard and in-line skates by students, faculty, staff and visitors of the College.

### **IV. Related Documents**

Richard Bland College Student Handbook

### **V. Contacts**

<b>Policy Name</b>	<b>Office</b>	<b>Title</b>	<b>Telephone Number</b>	<b>Email</b>
<b>Bicycle and Skateboard Use</b>	Safety & Security	Director of Public Safety & Chief of Police	(804) 862-6203	jsbrown@rbc.edu

### **VI. Definitions**

None

### **VII. Procedures**

**Bicycle Policy:** All bicycle users must adhere to state law relating to bicycles. Bicycle racks are provided by the campus for students to secure their bikes. Locking or leaning bicycles against poles, buildings, benches, trees, signs, porch railings, and other campus property is prohibited.

**Skateboard Policy:** The College permits the use of skateboards on the campus sidewalks only. Skateboards may not be used on the streets, campus roads, the building porches, or on the walkway between the campus and the Student Village.

## **Policy D-4**

**Policy Name: Possession of Weapons Prohibited**

**Responsibility for Maintenance: Director of Public Safety and Chief of Police**

### **I. Policy Statement**

#### **A. Prohibition**

The possession, carrying, storage, or maintenance of any weapon by any member of the campus community, with the exception of law enforcement officials and other individuals authorized under this policy is prohibited on college property. Any individual who is reported or discovered to possess a weapon on college property or maintains or stores a weapon on college property in violation of this prohibition will be asked to remove it immediately. The presence of a prohibited item will result in disciplinary action.

#### **B. Authorized Exceptions**

Exceptions to the weapons prohibition may be made only with appropriate authorization as described below.

1. Work-Related Weapons Use, Possession, etc. An employee may request authorization to possess, carry, store or maintain a weapon on college property if it is:
  - a. **required as part of the employee's job duties; or**
  - b. connected with training received by the employee in order to perform the responsibilities of their job with the college.

Request for the authorization of an exception first must be endorsed by the head of **the employee's department, school, or other college unit** – typically a vice president or dean. Final authorization may be made only by the Richard Bland College Police Department.

  
- 2. Other Exceptions. Other exceptions must be authorized by the Director of Public Safety/Chief of Police in consultation with appropriate College offices. The Director of Public Safety/Chief of Police will grant such exceptions only in limited circumstances, when the College has adequate assurance that an exception may be made without creating risk to campus safety and security.

#### **C. Prop Weapons**

Due to the risk of being identified as a real weapon, any toy, prop or other item that looks like a weapon and is used for any purpose on college property must be reported to and approved by the Richard Bland College Police prior to being used in any activity. Examples of activities for which prop weapon use may be approved include plays and class presentations.

### **II. Reason for Policy**

The purpose of this policy is to help provide a safe and secure working, living, and learning environment for the campus community by restricting weapons possession on College property.

### **III. Applicability of the Policy**

This policy applies to Richard Bland College of William & Mary. It applies to all College employees, including faculty, hourly and wage employees, and contract workers, and volunteers (collectively, members of the campus community) on any property owned, leased, rented, or otherwise under the control of the College (College property).

The conduct of students is covered by the Student Code of Conduct, particularly the prohibition on weapons, firearms, combustibles, and explosives.

### **IV. Related Documents**

### **V. Contacts**

<b>Policy Name</b>	<b>Office</b>	<b>Title</b>	<b>Telephone Number</b>	<b>Email</b>
<b>Possession of Weapons Prohibited</b>	Public Safety	Director of Public Safety and Chief of Police	(804) 862-6203	jsbrown@rbc.edu

### **VI. Definitions**

**"law enforcement officials"** means

- individuals appointed pursuant to §15.2-1609, et seq.; §15.2-1700, et seq.; §23-232, et. seq.; §29.1-200, et seq.; or §52-1, et seq. of the Code of Virginia; and
- sworn federal law enforcement officers.

**"members of the campus community"** is defined in Section I

**"college property"** is defined in Section I

**"weapons"** means any firearm or any other weapon listed in §18.2-308(A) of the Code of Virginia.

### **VII. Procedures**

## **Policy D.5.**

### **Policy Name: Campus Safety Advisory Committee Responsibility for Campus Police, Safety and Security**

#### **I. Policy Statement**

It is the policy of Richard Bland College Campus Police, Safety and Security to promote a safe and secure campus community through research, planning, training, implementation and exercising.

#### **II. Reason for Policy**

The purpose of the Campus Safety Advisory Committee is to provide an open forum where recent accidents, near misses, corrective actions, and opportunities for improvement can be discussed.

#### **III. Applicability of the Policy**

This policy applies to general safety and accident prevention that may occur on College property.

#### **IV. Related Documents**

#### **V. Contacts**

<b>Policy Name</b>	<b>Office</b>	<b>Title</b>	<b>Telephone Number</b>	<b>Email</b>
<b>Campus Safety Advisory Committee</b>	Campus Police, Safety and Security	Director of Public Safety & Chief of Police	(804) 862-6203	jsbrown@rbc.edu

#### **VI. Definitions**

Safety - Safety is the state of being "safe", the condition of being protected against physical, social, spiritual, financial, political, emotional, occupational, psychological, educational or other types or consequences of failure, damage, error, accidents, harm or any other event which could be considered non-desirable. Safety can also be defined to be the control of recognized hazards to achieve an acceptable level of risk. This can take the form of being protected from the event or from exposure to something that causes health or economic losses.

#### **VII. Procedures**

Team Makeup

The members of the Emergency Management Team will serve as the standing Campus Safety Advisory Committee.

#### **VIII. Forms/Online Processes**

This policy is located on the Campus Police, Safety and Security intranet.

## **Policy D-6.**

**Policy Name: Free Speech on Campus**

**Responsibility for Maintenance: Director of Public Safety and Chief of Police**

### **I. Policy Statement**

Individuals and organizations wishing to exercise their freedom of speech or "the right of the People peaceably to assemble," must register with the Office of Public Safety at least 24 hours in advance. Standard space reservation procedures must be followed. If notice is given less than 24 hours in advance, the College will make every effort to grant such a request provided that safety and security issues and logistical concerns can be appropriately addressed.

The location of the assembly will be determined by College officials in consultation with the organizers and will be based on safety and security concerns.

It is not the intent of this policy to censor or otherwise limit free expression. However, assemblies should be peaceable, orderly and comply with College standards of conduct.

### **II. Reason for Policy**

This policy provides guidance for the appropriate use of College space for free speech activities.

### **III. Applicability of the Policy**

This policy applies to all individuals and organizations wishing to use College facilities for free speech activities.

### **IV. Related Documents**

### **V. Contacts**

<b>Policy Name</b>	<b>Office</b>	<b>Title</b>	<b>Telephone Number</b>	<b>Email</b>
<b>Free Speech on Campus</b>	Public Safety	Director of Public Safety and Chief of Police	(804) 862-6203	jsbrown@rcb.edu

### **VI. Definitions**

### **VII. Procedures**

## **Policy D-7**

**Policy Name: Clery Act Compliance Committee**

**Responsibility for Maintenance: Campus Police, Safety, and Security**

### **I. Policy Statement**

The Clery Act Compliance Committee (CACC) is responsible for ensuring the College's compliance with its obligations under the Clery Act. These include:

The membership of the CACC shall be appointed by the President and shall include **representatives of the President's senior staff, campus safety and police, student life, athletics, admissions, human resources, and counseling**. The President shall **designate the chair of the CACC, who shall also be the College's Clery Compliance Officer**; the Clery Compliance Officer shall be responsible for the timely production and appropriate dissemination of the Annual Security Report. The CACC shall work closely with College counsel.

The CACC shall undertake to review updates to law, policy, and procedures connected to the Clery Act in order to assure awareness of and compliance with these obligations. The obligations include but are not limited to: (1) implementing policies and procedures; (2) reporting and recording of Clery Act crimes; (3) disclosure of crime and fire statistics; (4) provide campus safety and security policy statements; (5) notifying the College community of Clery Act crimes and other serious incidents by means of timely warnings and emergency notifications; (6) identification and training of Campus Security Authorities; (7) identification of Clery Act geography; and (8) gathering information for the Annual Security Report.

The CACC shall undertake to ensure College compliance with Clery Act obligations, and shall engage other College employees and offices as appropriate.

### **II. Reason for Policy**

Establishment of the Clery Act Compliance Committee (CACC) is necessary to promote Richard Bland College compliance with the Clery Act. The Act requires colleges and universities to disclose information about crime on and around their campuses, among other things.

### **III. Applicability of the Policy**

This policy establishes the Clery Act Compliance Committee and sets forth its duties. Members of the CACC are expected to perform these duties. In addition, all members of the College community (students, faculty, and staff) are expected to cooperate with the CACC in the performance of its duties.

### **IV. Related Documents**

## **V. Contacts**

<b>Policy Name</b>	<b>Office</b>	<b>Title</b>	<b>Telephone Number</b>	<b>Email</b>
<b>Clery Act Compliance Committee</b>	Campus Police, Safety and Security	Director of Public Safety and Chief of Police	(804) 863-4083 Ex 6203	jsbrown@rbc.edu

## **VI. Definitions**

**“Annual Security Report”** means the annual report required by the Clery Act, and that includes crime statistics for the 3 previous calendar years, as well as various policies, procedures, and program disclosures about security and safety on campus. The Annual Security Report must be disseminated to all College students and employees by October 1 each year, as well as available to prospective students and employees.

**“Campus Security Authorities”** include campus police departments, individuals who have responsibility for campus security, individuals who are identified as persons to whom students or employees should report criminal offenses, and officials who have significant responsibility for student and campus activities (such as residence life, student discipline, and campus judicial proceedings).

**“Clery Act”** means the Jeanne Clery Disclosure of Campus Security Policy and Campus Crime Statistics Act, §20 USC 1092(f)

**“Clery crimes”** means those criminal offenses that must be recorded and reported in the Annual Security Report, including murder, forcible sex offenses, non-forcible sex offenses, robbery, aggravated assault, simple assault, burglary, motor vehicle theft, manslaughter, and arson, domestic violence, dating violence and stalking.

## **VII. Procedures**

The CACC shall meet as directed by the chair, or as requested by the President.

## **Policy D.9.**

**Policy Name: Transmittable Diseases**

**Responsibility for Maintenance: Director of Public Safety and Chief of Police**

### **I. Policy Statement**

Virginia law requires medical care providers to notify public health officials of newly confirmed cases of certain communicable diseases so that testing of contacts can be pursued. Members of the College community who have been diagnosed with these reportable diseases are encouraged to self-disclose their diagnosis with the appropriate College official, and to cooperate with the College and the local health department to take such appropriate steps as will minimize the further transmission of the disease.

The College will not unlawfully discriminate in policy or practice, including admissions and employment policies, against individuals who have, or are considered to be at risk for, reportable diseases. The College will be in full compliance with the Americans with Disabilities Act (ADA) as it relates to those students and employees who have reportable diseases. Any College decision **ensuing from individuals' health-related circumstances** will be made in light of each unique instance, applicable confidentiality considerations, and relevant medical facts

### **II. Reason for Policy**

The College is committed to providing, to the extent possible, a healthy and safe educational environment for all students and employees. The purpose of this policy is to help prevent the spread of communicable and reportable disease through measures that focus on safety, prevention, and education while prohibiting discrimination against persons afflicted with communicable and reportable diseases.

### **III. Applicability of the Policy**

This policy applies to students, faculty, and employees of the College.

### **IV. Related Documents**

### **V. Contacts**

<b>Policy Name</b>	<b>Office</b>	<b>Title</b>	<b>Telephone Number</b>	<b>Email</b>
<b>Transmittable Diseases</b>	Campus Police, Safety and Security	Director of Public Safety and Chief of Police	(804) 862-6203	jsbrown@rbc.edu

## **VI. Definitions**

**"Communicable disease"** means any condition which is transmitted directly or indirectly to a person from an infected person or animal through the agency of an intermediate host or vector or through the inanimate environment. Communicable diseases are spread via airborne viruses or bacteria or contact with human blood or other bodily fluids. In addition to viruses and bacteria, communicable disease **pathogens include fungi and parasites.** Often the terms "infectious" and "contagious" are used to describe a communicable disease.

**"Reportable disease"** means a communicable disease required to be reported to public health officials. Reportable diseases are generally those of unusual significance, incidence, or occurrence and which may merit an epidemiological evaluation; these diseases are among the most importance from a public health perspective.

## **VII. Procedures**

Students diagnosed with communicable diseases are asked to report such diagnosis to Division of Student Affairs. Employees with communicable diseases are asked to report such diagnosis to the Director of Campus Safety. Division of Student Affairs and the Director of Campus Safety shall inform the Emergency Management Team as appropriate of such diagnoses, maintaining the confidentiality of the student(s) or employee(s) to the extent such confidentiality does not interfere with the **College's ability to respond to an actual or potential public health concern.**

In the event of a communicable disease occurrence within the surrounding region or state that is clearly in excess of normal expectancy or reaches the outbreak classification, the College will monitor the situation by maintaining continual communication with local and state health officials to provide timely and appropriate updates to the College community. Depending on the severity or categorical aspect of a specific event, less serious communicable disease occurrences will be addressed on a case-by-case basis. The College will also consult with local and state health officials to provide any specific instructions for individuals returning to the College following an infection of a reportable communicable disease.

## **Policy D-10**

**Policy Name: Pets on Campus**

**Responsibility for Maintenance: Director of Property Management**

### **I. Policy Statement**

Faculty, staff, and students will not bring pets onto the campus while the College is in session. (Exceptions to this policy are service animals and assistance animals - see Policy on Service and Assistance Animals on Campus, and subject to permission from the Director of Property Management, pets/animals included in course presentations.) Pets that are kept under control (for dogs, this means on a leash) may be brought on-campus when the College is not in session. If a pet poses a risk to the health or safety of others, the Owner may be asked to remove the pet from campus. Pets must be well-groomed and free of pests such as fleas.

Pets must be in good health and current on vaccinations and immunity shots as recommended by a veterinarian. The Owner must provide the Director of Property Management **a copy of the veterinarian's statement regarding the pet's health and vaccination status**, signed by the veterinarian within the last 12 months. A valid vaccination tag must be worn by the pet at all times.

The Owner shall **be responsible for removing the pet's waste, which must be placed** in a closed container and removed to an outdoor trash bin. The Director of Property Management may make exceptions to this policy may be made in exceptional cases.

The Owner shall be responsible for any damage caused by **the Owner's pet**. In the event of significant or repeated damage caused by a pet, the Director of Property Management may rescind permission for the Owner to have the pet on campus.

The Director of Property Management may **rescind an Owner's permission to have a pet on campus** if the Owner fails to comply with the terms of this policy.

### **II. Reason for Policy**

The presence of pets in office and classroom space contributes to health and maintenance concerns.

### **III. Applicability of the Policy**

This policy applies to students, faculty, and staff.

### **IV. Related Documents**

Policy on Service and Assistance Animals on Campus

**V. Contacts**

<b>Policy Name</b>	<b>Office</b>	<b>Title</b>	<b>Telephone Number</b>	<b>Email</b>
<b>Pets on Campus</b>	Property Management	Director of Property Management	(804) 862-6186	ekondzielawa@rbc.edu

**VI. Definitions**

“Owner” means the individual who has brought a pet to campus. The Owner may be a student, faculty member, or staff member.

“When classes are in session” means the consecutive period of time between the first day of classes in a semester until the last day of the exam period of a semester. The term does not include the period of time between the semesters in the winter and summer.

**VII. Procedures**

## **Policy D-12**

### **Policy Name: Maintenance and Repairs**

### **Responsibility for Maintenance: Director of Property Management**

#### **I. Policy Statement**

The College's maintenance and repairs efforts are intended for the sole purpose of providing the physical environment necessary to support strong academic and student service programs.

The College attempts to streamline the requests for service procedure as follows:

Except for extreme situations, all requests for maintenance and repairs must be submitted by email to [facilities@rbc.edu](mailto:facilities@rbc.edu).

Facilities will respond to work order requests in the order in which they are received (for non-emergencies). Once the work has been completed an email will be forwarded to notify the requestor of completion of work. If parts need to be ordered for repairs facilities will notify requestor. Once parts are received the work will be completed as soon as possible.

The Director of Property Management has the authority and responsibility to alter maintenance and repair priorities as appropriate in order to achieve the goal stated in this policy.

#### **II. Reason for Policy**

The College community should share an understanding of the manner for prioritizing College maintenance and repairs, in order to better achieve the goal stated in this policy.

#### **III. Applicability of the Policy**

This policy directly applies to the College employees working under the supervision or auspices of the Department of Property Management. All members of the College community should be familiar with this policy.

#### **IV. Related Documents**

#### **V. Contacts**

Policy Name	Office	Title	Telephone Number	Email
<b>Maintenance and Repairs</b>	Department of Property Management	Director of Property Management	(804) 862-6186	Ekondzielawa@rbc.edu

#### **VI. Definitions**

#### **VII. Procedures**

## **Policy D-13**

### **Policy Name: Use of College Facilities**

### **Responsibility for Maintenance: Director of Property Management**

#### **I. Policy Statement**

1. General Availability
  - a. College facilities are designed and constructed primarily for College functions; therefore, College officials, administrative units and groups have first priority for their use. Second priority is for College-related organizations. Third priority is for non-College-related organizations.
2. Fees  
See the Facilities Use Agreement and Fee Schedule.
3. All events and activities must occur in compliance with applicable College policies and rules, such as those relating to alcohol, smoking, weapons, and parking.

#### **II. Reason for Policy**

This purpose of this policy is to set priorities for facilities usage, define scheduling procedures, and establish College policy for charges associated with scheduled events.

#### **III. Applicability of the Policy**

This policy applies to the scheduling and conduct of events and activities on College property, including in College facilities. Examples of such events or activities include: meetings and group activities of student organizations, facility rental for private events, and College activities other than scheduled courses and meetings of academic and administrative employees performing work duties.

#### **IV. Related Documents**

Facilities Use Agreement and Fee Schedule

#### **V. Contacts**

<b>Policy Name</b>	<b>Office</b>	<b>Title</b>	<b>Telephone Number</b>	<b>Email</b>
<b>Use of College Facilities</b>	Property Management	Director of Property Management	(804) 862-6186	ekondzielawa@rbc.edu

#### **VI. Definitions**

**"College"** means an official or administrative unit performing a work-related activity, and includes groups established by the President to perform College functions or to advise College officials.

**"College-related organization"** means a College-recognized student organization, or other organization established by the President, includes those affiliated entities established to support the College.

“Non-College-related organization” means any group other than the College or College-related organization.

## **VII. Procedures**

See Facilities Use Agreement

## **Policy E.1.**

### **Policy Name: Bloodborne Pathogens**

### **Responsibility for Maintenance: Director of Public Safety and Chief of Police**

#### **I. Policy Statement**

Richard Bland College is committed to providing a safe and healthy work environment for employees. In pursuit of this goal, the following exposure control plan (ECP) is provided to eliminate or minimize occupational exposure to bloodborne pathogens in accordance with OSHA standard 29 CFR 1910.1030, "Occupational Exposure to Bloodborne Pathogens."

#### **II. Reason for Policy**

To provide safety policies and guidelines for the protection of Richard Bland College employees and students who have a potential for occupational exposure to bloodborne pathogens, such as Hepatitis B Virus (HBV), Human Immunodeficiency Virus (HIV), and Hepatitis C Virus (HCV), among others.

#### **III. Applicability of the Policy**

This policy applies to any employee who would have occupational exposure to Blood or other potentially infectious materials.

#### **IV. Related Documents**

OSHA standard 29 CFR 1910.1030, "Occupational Exposure to Bloodborne Pathogens."

Exposure Control & Hazard Communications Plan 2012

#### **V. Contacts**

<b>Policy Name</b>	<b>Office</b>	<b>Title</b>	<b>Telephone Number</b>	<b>Email</b>
<b>Bloodborne Pathogens</b>	Safety & Security	Director of Public Safety and Chief of Police	(804) 862-6203	jsbrown@rbc.edu

#### **VI. Definitions**

Refer to Exposure Control & Hazard Communications Plan 2012

#### **VII. Procedures**

Refer to Exposure Control & Hazard Communications Plan 2012

## **Policy E.2.**

**Policy Name: Chemical Spill Response/Laboratory Safety**

**Responsibility for Maintenance: Director of Public Safety and Chief of Police**

### **I. Policy Statement**

Richard Bland College has developed a Chemical Hygiene Plan to describe the policies and procedures that will promote the safe operation of the college science laboratories. This Chemical Hygiene Plan satisfies the requirements of the U.S. Department of Labor, Occupational Safety and Health Administration, 29 CFR Part 1910.1450, Occupational Exposures to Hazardous Chemicals in Laboratories.

### **II. Reason for Policy**

Some safety policies and practices adopted at Richard Bland College may not be required to be included in the Chemical Hygiene Plan, but the policies and practices may be crucial to the planning process for maintaining a safe environment for employees and students. Setting the minimum physical space per student is an example of a policy that affects the establishment of a safe environment but is not required by the 29CFR1910 to be included in the Chemical Hygiene Plan.

### **III. Applicability of the Policy**

This regulation is enacted for the protection of all employees, public and private. However, the College extends the provisions of the Chemical Hygiene Plan to our students as well.

### **IV. Related Documents**

OSHA standard 29 *CFR* 1910

Exposure Control & Hazard Communications Plan 2012

Richard Bland College Chemical Hygiene Plan

Richard Bland College Biological Lab Safety Plan

### **V. Contacts**

<b>Policy Name</b>	<b>Office</b>	<b>Title</b>	<b>Telephone Number</b>	<b>Email</b>
<b>Chemical Spill Response and Lab Safety</b>	Safety & Security	Director of Public Safety and Chief of Police	(804) 862-6203	jsbrown@rbc.edu

### **VI. Definitions**

None

### **VII. Procedures**

Refer to Exposure Control & Hazard Communications Plan 2012

## **Policy E.3.**

### **Policy Name: Hazard Communications and Right to Know**

### **Responsibility for Maintenance: Director of Public Safety and Chief of Police**

#### **I. Policy Statement**

The Richard Bland College Hazard Communication Program is based on the requirements of the OSHA Hazard Communications Standard, 29 CFR 1910.1200.

#### **II. Reason for Policy**

To ensure that information about the dangers of all hazardous chemicals used by Richard Bland College is known by all affected employees, the following hazardous information program has been established.

#### **III. Applicability of the Policy**

Under this program, you will be informed of the contents of the OSHA Hazard Communications standard, the hazardous properties of chemicals with which you work, safe handling procedures and measures to take to protect yourself from these chemicals. This program applies to all work and teaching operations at Richard Bland College where you may be exposed to hazardous chemicals under normal working conditions or during an emergency situation. All staff, faculty, and students will participate in the Hazard Communication Program. Copies of the Hazard Communication Program are available in the Richard Bland College Human Resources Office for review by any interested employee. The Richard Bland College Safety Officer is the program coordinator, with overall responsibility for the program, including reviewing and updating this plan as necessary.

#### **IV. Related Documents**

OSHA Hazard Communications Standard, 29 CFR 1910.1200

Exposure Control & Hazard Communications Plan 2012

#### **V. Contacts**

<b>Policy Name</b>	<b>Office</b>	<b>Title</b>	<b>Telephone Number</b>	<b>Email</b>
<b>Hazard Communications and Right to Know</b>	Safety & Security	Director of Safety & Security	(804) 862-6203	jsbrown@rbc.edu

#### **VI. Definitions**

Refer to Exposure Control & Hazard Communications Plan 2012

#### **VII. Procedures**

Refer to Exposure Control & Hazard Communications Plan 2012

## **Policy E.4.**

### **Policy Name: Sustainability Plan**

### **Responsibility for Maintenance: Director of Property Management**

#### **I. Policy Statement**

Richard Bland College supports the integration of sustainability throughout campus operations. Members of the campus community are expected to follow the guidelines established in this policy for operating the College in a sustainable manner in order to meet the goals of the Presidents' Climate Commitment. The College will work to promote (A) Sustainable Purchasing, (B) Green Cleaning, (C) Sustainable Transportation, (D) Solid Waste Management and Recycling, (E) Green Building, (F) Energy Conservation, and (G) Sustainable Landscaping.

#### **II. Reason for Policy**

The purpose of this policy is to support operational efficiency and sustainable practices throughout the operations of Richard Bland College. The policy will help Richard Bland achieve goals associated with strategic goals and objectives.

#### **III. Applicability of the Policy**

This policy applies to all facilities and grounds at Richard Bland College and College-affiliated organizations, to all employees and students, and to all campus departments. Sections of this policy may apply to particular individuals and departments as outlined below.

#### **IV. Related Documents**

Sustainability Action Plan

Sustainable Landscape Master Plan

#### **V. Contacts**

<b>Policy Name</b>	<b>Office</b>	<b>Title</b>	<b>Telephone e Number</b>	<b>Email</b>
<b>Air Emission Compliance Programs</b>	Property Management	Director of Property Management	(804) 862-6186	ekondzielawa@rb.edu

#### **VI. Definitions**

**Construction and Demolition Debris:** This includes waste and recyclables generated from construction and from the renovation, demolition, or deconstruction of preexisting structures. It does not include land-clearing debris, such as soil, vegetation, and rocks.

**Green Building Principles:** The efficient management of energy and water resources, management of material resources and waste, protection of environmental quality, protection of occupant health and indoor environmental quality, reinforcement of natural systems, and integrating the design approach.

**Green Cleaning:** Green cleaning is the use of cleaning products and practices that have less harmful environmental and health impacts than conventional products and practices.

**Leadership in Energy and Environmental Design (LEED):** A third-party green building certification program administered by the U.S. Green Building Council (USGBC).

**Presidents' Climate Commitment:** The American College and University Presidents' Climate Commitment is a pledge made by presidents of campuses throughout the country to reduce and eventually eliminate greenhouse gas emissions associated with energy use, commuting, air travel, and other sources.

## **VII. Procedures**

### A. Sustainable Purchasing

- a. This section applies to Management Services, Information Technology, and all departmental purchases made by Richard Bland College.
- b. Sustainable Purchasing Guidelines: Richard Bland College will strive to purchase products that promote sustainability. Preference will be given for products that are reused or contain recycled content; are durable, repairable, or recyclable; have low toxicity; have minimal packaging; come from local sources; have environmentally and socially responsible production processes; and are energy efficient. Preference will be given for working with local businesses and historically underrepresented businesses whenever possible.\
- c. Paper: Office paper for printing and copying must contain 30% minimum recycled content paper whenever possible.
- d. Electronic Equipment and Appliances: Electronic equipment and appliances must be Energy Star labeled for equipment that is eligible for an Energy Star label. Electronic equipment should also meet the standard for Electronic Product Environmental Assessment Tool (EPEAT) Silver or Gold rating whenever possible.

### B. Green Cleaning

- a. This section applies to all facilities, the custodial supervisor (Assistant Director of Facilities), and all custodial staff.
- b. Preference for Green Cleaning Products: Richard Bland College shall implement sustainable cleaning procedures and sustainable cleaning purchasing practices whenever possible. Preference will be given to purchasing cleaning products that meet Green Seal, EcoLogo, or the **Environmental Protection Agency's Comprehensive Procurement** Guidelines. The Department of Property Management must track cleaning product purchases to indicate whether products meet these criteria.
- c. Green Cleaning Training: All custodial staff will be trained on green cleaning procedures and the relevant contents of the Sustainability Policy. The training will include information on how to use cleaning products and cleaning equipment, proper cleaning procedures

(including application and disposal), and the environmental and health issues associated with cleaning products and equipment.

C. Sustainable Transportation

- a. This section applies to the Department of Management Services and all employees and departments at Richard Bland College.
- b. Idling Reduction: No vehicle on campus may idle for more than 5 consecutive minutes. Each driver will be responsible for ensuring that the vehicle he or she is operating does not idle unnecessarily. Vehicles should be turned off when parked and should not be restarted until loading or unloading is complete and the vehicle is ready to depart.
- c. Vehicle Operation: College employees should drive College-owned vehicles in a manner that maximizes fuel efficiency by observing speed limits, minimizing idling, and minimizing rapid acceleration and braking.
- d. Minimize Vehicle Miles Traveled: Alternate meeting methods, such as conference calls, or other technology, should be used when feasible to reduce the number of driving trips. Meetings should be held at centralized locations, when possible, to reduce distances traveled. Where applicable and reasonable, employees should use alternative modes of transportation, such as public transit, walking, biking, and carpooling. In general, travel routes should be planned to optimize efficiency. When feasible, trips should be chained together to reduce required travel time and distance.
- e. Maximize Efficiency Through Maintenance: Regularly scheduled preventive and other maintenance shall be performed promptly on all fleet items to maximize fuel efficiency and minimize emissions.
- f. Optimize Fleet Size: Vehicles that are used infrequently should be considered for removal from the fleet. Vehicle share agreements among departments, community car-share programs, or vehicle lease contracts should be explored to reduce the number of fleet vehicles needed.

D. Vehicle Purchasing:

- a. Departments should identify the most fuel-efficient vehicles with **maximum emission reduction available that meet the department's operational needs whenever possible.**
- b. Vehicles of a smaller class size and vehicles such as NEVs (neighborhood electric vehicles) and bicycles should be considered to achieve increased miles per gallon and lower emissions.
- c. Preference will be given to purchasing electric, hybrid or alternative/renewable-fueled vehicles and equipment when (A) they meet the operational needs of the Department, (B) their fuels and relevant parts are available or could easily be made available, and (C) they show a reduction in or equivalent emissions or life-cycle per-mile costs (including maintenance), when compared with similar gas or diesel vehicles.
- d. **"Clean" fuels (such as electricity, biodiesel, compressed natural gas, ethanol, and others) shall be used when feasible.**

- e. All passenger vehicles acquired will be selected based on minimum GHG emissions and maximum fuel efficiency. Vehicles that achieve a combined 30 mpg or greater will be given preference.
- f. Work trucks, cargo vans, special purpose and emergency response vehicles and equipment shall be purchased or leased to comply with the requirements of this policy whenever possible.
- g. The most fuel efficient vehicles that will meet departmental needs will be purchased whenever possible.
- h. Sustainable Campus Transportation: Richard Bland College will encourage employees, students, and visitors to utilize alternative transportation options in order to reduce commuting emissions. Educational programs, incentives, and infrastructure improvements will be explored in order to promote alternative transportation such as walking, biking, public transportation, carpooling, and alternative fueled vehicles.

E. Solid Waste Management and Recycling

- a. This section applies to all campus facilities and all students and employees at Richard Bland College.
- b. The entire campus community is expected to actively participate in Richard Bland College's recycling program and waste reduction efforts through source reduction, reuse of materials, and recycling. This **includes following the provisions of Richard Bland County's mandatory recycling law.**
- c. Source Reduction: All members of the college community are responsible for implementing operational practices that prevent waste from being produced whenever possible. Examples include printing reports and documents on both sides of paper; reducing the number of documents printed when possible; using email rather than printed correspondence; and using products that are reusable, refillable, repairable, non-toxic, and recyclable. Items requiring the least possible packaging should be purchased when practical. Every effort should be made to prevent excess or unneeded materials from being purchased. All members of the campus community should identify additional waste reduction opportunities within their units.
- d. Reuse of Materials: All members of the college community are responsible for reusing products whenever possible. Examples include obtaining office furniture from the College department of central stores; sharing office supplies when feasible; and using mugs, dishes, glasses, and reusable flatware rather than disposable paper and plastic ware. All members of the campus community should identify additional reuse opportunities within their units.
- e. Recycling: All members of the college community are responsible for separating identified recyclable materials and placing them in appropriate recycling containers. Recyclable materials include all items listed by the Richard Bland County Resource Recovery Agency such as office paper, mixed paper, newspapers, magazines, catalogues, craft paper, corrugated cardboard, paperboard, glass, metal, plastics, and beverage cartons. Additional ongoing consumables, such as toner

cartridges, will be recycled to the maximum extent possible. Batteries and mercury containing light bulbs will be recycled to the maximum extent possible. Durable goods will be recycled, donated, or otherwise diverted from disposal to the maximum extent possible.

- f. Composting Food Waste: Pre-consumer food waste from dining services will be collected for composting using the appropriate containers. Dining services staff is responsible for separating food waste and placing it into the appropriate containers. Additional opportunities for composting will be explored in order to further reduce food waste entering the waste stream.
- g. Implementation: The Department of Property Management is responsible for providing recycling bins throughout campus to facilitate recycling; managing the collection of recyclables including training custodial and grounds staff regarding proper recycling collection; and tracking recycling and trash volume. The Department of Property Management is also responsible for identifying additional opportunities to reduce waste and implementing programs and practices to reduce waste. The Department of Property Management is responsible for educating campus community members about recycling and waste reduction through signage, events, and other methods. The Department of Property Management, with guidance from the Director of Sustainability, is responsible for coordinating periodic waste stream audits to determine waste diversion rates.

#### F. Green Building

- a. This section applies to all facilities at Richard Bland College and College-affiliated organizations, the Department of Property Management, and the Department of Management Services.
- b. Achieve LEED Silver Certification for Building Construction and Renovations: All new construction of buildings must meet LEED silver standards. All major renovations of buildings over 5,000 square feet must meet LEED silver standards when reasonably practicable.
- c. Utilize Energy Efficient Equipment: For new construction and building renovations, all appliances, heating and/or air conditioning equipment, or other systems that use energy shall be Energy Star qualified, if Energy Star equipment is available. When equipment needs to be replaced in existing buildings due to maintenance, Energy Star qualified equipment shall be used, if Energy Star equipment is available. The Department of Property Management will identify and implement additional energy efficiency improvements and other sustainability measures throughout campus facilities.
- d. Monitor Building Energy Consumption: All new and existing buildings shall monitor ongoing energy use with the EPA Building Portfolio Manager or equivalent energy monitoring software. This will allow the College to monitor energy usage, identify potential energy saving opportunities, and benchmark buildings against similar buildings throughout the country.
- e. Divert Construction and Demolition Debris from Disposal: At least 50% of waste tonnage from construction, demolition, and renovation

projects shall be diverted from disposal whenever possible. The Department of Property Management should work with contractors and waste haulers to ensure construction and demolition debris is recycled whenever possible.

- f. Implementation: Project managers will ensure that the strategies specified in the Sustainability Policy are communicated to design and construction firms in the bidding process. Project managers will consider the green building competency of the firms in determining the contractors to hire. Project managers will ensure that the project specifications incorporate the strategies outlined in the Sustainability Policy and that the strategies are implemented throughout each project. Project managers and building maintenance personnel will ensure that energy efficient equipment, such as Energy Star qualified products, is utilized for new construction, renovations, and routine equipment replacement.

#### G. Energy Conservation

- a. This section applies to all facilities at Richard Bland College, the Department of Property Management, and all employees.
- b. Temperature Set Points:
  - i. Indoor temperature settings in all spaces during occupied periods will be:
    1. heated to a target temperature of 68° F during the winter; and
    2. cooled to a target temperature of 74° F in centrally air conditioned spaces during the summer.
  - ii. These will be set by the Department of Property Management in centrally controlled systems. Occupants who control their own thermostats are required to adhere to these settings.
  - iii. Temperatures may fluctuate within the building around these set points and every effort will be made to stay within 2° F of this range.
- c. Supplemental electric heaters shall only be issued in the case of long-term system malfunctions and as authorized and provided by the Department of Property Management.
- d. No other use of electric heaters is allowed and unauthorized heaters will be removed.
- e. Building Occupant Responsibilities: Individuals are expected to conserve energy wherever possible in their departments in order to save college resources and minimize greenhouse gas emissions. Individuals should:
  - f. Turn off lights when exiting rooms that are no longer occupied.
  - g. Turn off office equipment (including monitors, task lights, personal computers, and other equipment where possible) when leaving a workspace for more than 30 minutes and at the end of the day.
  - h. Set computer power management settings so that computer monitors turn off and CPU enters hibernate or standby mode after extended periods of time.

- i. Enable power management features on laser printers and copiers and power them down whenever possible, particularly on evenings and weekends.
- j. Utilize Energy Star equipment whenever possible.
- k. The Department of Property Management shall identify and implement additional energy conservation opportunities throughout campus facilities.

H. Sustainable Landscaping

- a. This section applies to all campus grounds and the Department of Property Management.
- b. Sustainable Landscaping Guidelines: Richard Bland College shall manage campus grounds and landscaping in a sustainable manner, shall implement the Sustainable Landscape Master Plan to the fullest **extent possible, shall utilize the Environmental Protection Agency's** four-tiered approached to Integrated Pest Management for all campus grounds whenever possible, and shall utilize native plants for landscaping on-campus whenever possible.

## **Policy F.1.**

### **Policy Name: Admissions**

### **Responsibility for Maintenance: Dean of Enrollment Services**

#### **I. Policy Statement**

Candidates for Admission to Richard Bland College must satisfy the minimum requirements set forth in this policy, as well as all requirements, procedures, rules and regulations established by Commonwealth of Virginia. This policy is not intended to establish an all-inclusive list of requirements for admission or factors considered in the application process. Except as set forth in this policy or required by applicable law, the College reserves the right to make discretionary admission decisions and to admit or deny candidates for any lawful reason.

#### **II. Reason for Policy**

This policy is intended to ensure that the College's admission decisions are aligned with strategic goals, based upon sufficient information, and rendered in a manner consistent with applicable law.

#### **III. Applicability of the Policy**

All College personnel having a role in the admission process, and all prospective applicants for admission, shall abide by this policy.

#### **IV. Related Documents**

Richard Bland College Catalog "Applying to RBC"

#### **V. Contacts**

Policy Name	Office	Title	Telephone Number	Email
<b>Requirements for Admission</b>	Admissions	Admissions Officer	(804) 862-6249	jhart@rbc.edu

#### **VI. Definitions**

None

#### **VII. Procedures**

Certain Admission Requirements

Admission to any specific program offered at the College will be based upon consideration of the following criteria:

#### **Completion of a Richard Bland College online application form**

- Presentation of an official high school transcript showing proof of graduation from high school with a regular high school diploma, as defined by the Commonwealth of Virginia Department of Education or a high school equivalency diploma (GED); or for home schooled students, a letter from the superintendent of the school district within which the student resides, stating that the student's home schooled instruction is substantially equivalent to the instruction offered by that student's local high school; and a college transcript if applying as a transfer student.

- Satisfactory high school grades and/or satisfactory college-level grades.
- Appropriate academic preparation for the desired program of study at RBC.
- Some students may be required to take one or more non-credit, developmental courses before taking courses required for their degree.
- Certain programs of study require specific high school courses for admission.

#### Deferred Admission

Once an applicant has been accepted by the College, s/he may defer enrollment at the College for up to two semesters. If s/he has not matriculated by then, and later chooses to attend the College as a matriculated student, s/he must begin the application process again.

## **Policy F.2.**

**Policy Name: Matriculation/Curriculum Change**

**Responsibility for Maintenance: Dean of Faculty**

### **I. Policy Statement**

A matriculated student is one who has been accepted by the Richard Bland College Admission Office and is enrolled in a degree or certificate program. A non-matriculated student is enrolled in College classes but has not been admitted formally to a degree/certificate program, or has lost matriculated status because of unsatisfactory academic performance or as otherwise set forth in this policy.

A matriculated student in good academic standing who discontinues enrollment for two or more consecutive terms (summer and winter sessions excluded) retains his/her matriculated status but must contact Admissions in order to reenroll. Matriculated students who have discontinued enrollment for a period of six years or longer will be placed in non-matriculated status.

Matriculated students may request academic program changes through the procedure set forth in this policy.

### **II. Reason for Policy**

This policy is designed to facilitate efficient use of the College's academic resources by establishing standards for matriculation and academic program change.

### **III. Applicability of the Policy**

All full- and part-time students at the College, as well as College employees responsible for making determinations affecting students' matriculated status, shall abide by this policy.

### **IV. Related Documents**

College Policy A5 on Academic Standing

College Policy A6 on Degree/Certificate Requirements

College Policy A7 on Graduation & Commencement

### **V. Contacts**

<b>Policy Name</b>	<b>Office</b>	<b>Title</b>	<b>Telephone Number</b>	<b>Email</b>
<b>Re-enrollment, Readmission</b>	Admissions	Admissions Officer	(804) 862-6249	jhart@rbc.edu
<b>Program Change</b>	Registrar	Registrar	(804) 862-6206	lwray@rbc.edu

### **VI. Definitions**

## **VII. Procedures**

### **Reenrollment by Matriculated Student Following Enrollment Discontinuance**

A matriculated student in good academic standing who discontinues enrollment for two or more consecutive terms should contact the Admissions Office before reenrolling in classes.

### **Readmission**

Students placed in non-matriculated status due to a discontinuance of enrollment for six years or longer must contact the Admissions Office to seek readmission to the College.

### **Academic Program Changes**

A matriculated student may request an academic program change through the Office of the Registrar.

### **Exceptions**

Students who have lost matriculated status because of unsatisfactory academic performance must follow specific requirements for reinstatement. See Policy A5 Academic Standing.

## **Policy F.3.**

### **Policy Name: Registration and Program Change**

### **Responsibility for Maintenance: Dean of Faculty**

#### **I. Policy Statement**

Student requests for course registration and changes to their registration shall be subject to the conditions and procedures set forth in this policy.

#### **II. Reason for Policy**

This policy is designed to establish consistent rules for the processing of changes to students' registration.

#### **III. Applicability of the Policy**

All students, faculty and Registrar's Office personnel shall abide by this policy.

#### **IV. Related Documents**

College Policy A5 on Academic Standing

College Policy A6 on Degree/Certificate Requirements

College Policy A7 on Graduation & Commencement

#### **V. Contacts**

<b>Policy Name</b>	<b>Office</b>	<b>Title</b>	<b>Telephone Number</b>	<b>Email</b>
<b>Registration or Program Change</b>	Registrar	Registrar	(804) 862-6206	lray@rbc.edu

#### **VI. Definitions**

**Registration:** The College's designated registration period, as scheduled prior to the start of each semester.

#### **VII. Procedures**

##### **Add/Section Changes**

Courses may be added or sections of the same course may be changed through end of the add/drop period as advertised in the Academic Calendar. Students adding a course after classes begin are responsible for all missed work.

##### **Withdrawals**

Students who wish to withdraw from a course must officially do so through the registration system (and after the end of the add/drop period, using the drop form available from academic offices or the registrar). The last day to drop without academic penalty is listed in the Academic Calendar. Students are responsible for dropping or withdrawing from courses.

##### **Exceptions**

In unusual or extenuating circumstances the Dean of Faculty may consider exceptions to the requirements of this policy.

## **Policy F.4.**

### **Policy Name: Grading**

### **Responsibility for Maintenance: Dean of Faculty**

#### **I. Policy Statement**

Grades shall be assigned for all RBC courses in accordance with the standards set forth in this policy.

#### **II. Reason for Policy**

This policy is designed to promote fairness in grading by ensuring that grading practices are adequately disclosed and by setting forth the basis on which students' academic standing is to be determined.

#### **III. Applicability of the Policy**

All students, faculty and Registrar's Office personnel shall abide by this policy.

#### **IV. Related Documents**

College Policy F.3. on Registration and Program Change  
College Policy F.5. on Grade Dispute Procedures

#### **V. Contacts**

<b>Policy Name</b>	<b>Office</b>	<b>Title</b>	<b>Telephone Number</b>	<b>Email</b>
<b>Grading Policies/Procedures</b>	Academics	Dean of Faculty	(804) 862-6210	vllindquist@rbc.edu
<b>Grade Change</b>	Registrar	Registrar	(804) 862-6206	lwraley@rbc.edu

#### **VI. Definitions**

Definitions and standards for certain grading terminology are set forth below.

#### **VII. Procedures**

##### **Grading Policy**

At the beginning of a course, the instructor informs the students of the criteria to be used in determining the final grade in the course syllabus. Numerical or letter grades may be used during a course, but the final grade must be submitted in letter form.

##### **Grading System**

Grades can be accessed by the students through Banner Web at the end of each **semester or term**. The College's grading system for evaluating achievement in academic courses is:

A = Superior

B = Good

C = Average

D = Poor

F = Failing

W = Withdrawn

W/F = Withdraw/Failing

M = Drop without Academic Penalty

In addition to the grades, A, B, C, D, and F, the following symbols are also used: **The grade of "I" (Incomplete) indicates the student has received permission from the instructor to postpone the completion of certain required work or for a deferred final examination. The student and instructor must complete the "Application for Incomplete Grade" to initiate the process. Incomplete course work and deferred examinations must be completed as soon as possible, but not later than the last date to complete "Incomplete" grades during the following semester (See Academic Calendar for pertinent dates). An incomplete grade that is not removed within this period will automatically become an "F." A student may elect to repeat an "Incomplete" course the following semester. If so, the "Incomplete" course will remain on the student's record but will be dropped without academic penalty.**

**The symbol of "W" (Withdrew on or before Penalty Drop Date) indicates a course dropped after the Class Change period, but on or before the penalty drop date (See College Calendar for pertinent dates). Any student withdrawing after the Penalty Drop Date receives a grade of "W/F". Grades of "W/F" are included as an "F" in the computation of a student's Richard Bland College grade point average.**

**The symbol of "M" (Medical/Extenuating Circumstance Withdrawal) indicates a course dropped after the penalty drop date due to medical/extenuating circumstances with appropriate documentation. Approval of the Dean of Faculty is required.**

**The symbol of "O" (Audit) indicates a course being taken for non-credit.**

Quality Points/Grade Point Average (QPA/GPA)

Final semester grades are given quality-point ratings in accordance with the following scale:

A = 4 quality points per semester-hour credit  
B = 3 quality points per semester-hour credit  
C = 2 quality points per semester-hour credit  
D = 1 quality point per semester-hour credit  
F = 0 quality points per semester-hour credit

To determine the quality points earned in a given course, multiply the points for the final grade by the semester-hour credit for that course.

**A student's quality-point average (QPA or GPA) is computed by dividing the number of quality points earned at RBC by the number of credits attempted at RBC. This computation includes semester hours in which a grade of "F" is earned. If a course is repeated, the highest grade is used to compute the quality-point average; however, both the original and second grades are recorded on the student's permanent record. The grades of accepted transfer courses, audit courses,**

developmental courses, and courses officially dropped before the academic penalty date are not included in the quality-point average.

#### Repeat of Courses

Students are limited to two attempts in the same course. After the second attempt, further attempts require completion and submission of the Class Repeat Application **and to the Registrar's Office. The application is available at the Registrar's Office** in Maze Hall on-campus and on the Records and Registration link of the RBC website at [www.rbc.edu/administrative-offices/office-of-the-registrar/forms](http://www.rbc.edu/administrative-offices/office-of-the-registrar/forms). Repeat courses **may impact a student's financial aid**. All original courses and grades will appear on **the student's transcript. Although Richard Bland College adjusts cumulative grade point averages for successful repeats, some four-year institutions may compute the grade point average using all courses attempted.** Note: The following examples illustrate the rules concerning repeats:

**Original grade is "I" (Incomplete) and the student registers for the same course the following semester: The original course will remain on the student's record but will be dropped without academic penalty and the new course will not be shown as a repeat on the student's record.**

Original grade is lower than the grade for the repeated course: **The cumulative grade point average is calculated including "I" (located in the column to the right of the course). The attempted hours and quality points earned for the repeated course and the attempted hours and quality points earned (if any) for the original course are excluded "E" (located in the column to the right of the course).**

Original grade is equal to or higher than the grade for the repeated course: (See rule concerning "F's" below.) **The cumulative grade point average is calculated including "I" (located in the column to the right of the course) the attempted hours and quality points earned for the original course and excluding "E" (located in the column to the right of the course) the attempted hours and quality points (if any) for the repeated course.**

**Original grade is "F" and the grade for the new course is "F": The cumulative grade point average is calculated including "I" (located in the column to the right of the course) the attempted hours for up to three (3) "F's" for a course.**

**Original and second grades are "F's" and the grade for the new course is "D" or higher: The cumulative grade point average is calculated including "I" (located in the column to the right of the course) the attempted hours and quality points earned for the new course and the attempted hours for the two "F's" are excluded "E" (located in the column to the right of the course).**

**Original, second, and third grades are "F's": On occasion a student must complete the course to fulfill degree requirements. Therefore, a third repeat is warranted. If a third repeat is granted by the Dean of Faculty and the course is passed, the cumulative grade point average is calculated including "I" the attempted hours for the three "F's" and the attempted hours and quality points earned for the new course.**

Grade Changes

**After a grade is recorded by the Registrar's Office, a faculty member may request that the grade be changed. This request must be submitted to the Registrar's Office on an official Grade Change Form by the end of the following semester. Grade changes are subject to the approval of the Dean of Faculty.**

Exceptions

In unusual or extenuating circumstances, the Dean of Faculty may consider exceptions to requirements of this policy.

## **Policy F.5.**

### **Policy Name: Grade Dispute Procedure**

### **Responsibility for Maintenance: Dean of Faculty**

#### **I. Policy Statement**

RBC students have the right to dispute final course grades in accordance with the procedures set forth in this policy. Members of the faculty will respect the right of any student to dispute a final grade.

#### **II. Reason for Policy**

This policy is designed to provide a mechanism for students to dispute final course grades in a manner that is fair to both the student and the instructor.

#### **III. Applicability of the Policy**

All students and faculty shall abide by this policy.

#### **IV. Related Documents**

None

#### **V. Contacts**

<b>Policy Name</b>	<b>Office</b>	<b>Title</b>	<b>Telephone Number</b>	<b>Email</b>
<b>Dispute Procedure</b>	Academic Department	Course Instructor or, in his/her absence, Department Chair	varies	varies

#### **VI. Definitions**

None

#### **VII. Procedures**

In matters involving grade appeals, the student should consult with the faculty member who issued the final grade for the course. If the student still believes a grade has been assigned unfairly, the student may appeal to the division chair and further to the Dean of Faculty and Academic Effectiveness. If the issue cannot be resolved at any of these levels, the student has the right to appeal formally to the Academic Standards Committee. This written appeal must be submitted within **ninety days of issuance of the student's final grade. A form for facilitating the** appeal process is available in the Office of the Dean of Faculty.

It shall be the responsibility of the Academic Standards Committee to hear the **student's appeal and** to interview anyone the student chooses to speak on his/her behalf. The faculty member issuing the grade also has the right to appear before the Committee for the purpose of presenting pertinent information and also may have witnesses present if desired. The recommendation of the Committee will be reported to the Dean of Faculty and Academic Effectiveness, who will make the final decision and notify the student and faculty member. The Committee is not empowered to change a grade.

In these proceedings, the burden of proof is on the student to prove that a change of grade is the appropriate action.

## **Policy F.6.**

### **Policy Name: Academic Standing**

### **Responsibility for Maintenance: Dean of Faculty**

#### **I. Policy Statement**

RBC students are expected to maintain good academic standing as required by this policy. Students who fail to maintain good academic standing will be subject to probation and/or academic dismissal as described in this policy.

#### **II. Reason for Policy**

This policy sets forth the College's expectations of its students with respect to maintenance of good academic standing. The policy is designed to ensure that students can benefit in a meaningful way from enrollment at the College, and to facilitate efficient use of the College's academic resources.

#### **III. Applicability of the Policy**

All full- and part-time students at the College, staff members in the registrar's office, and personnel responsible for monitoring academic standing and progress shall abide by this policy.

#### **IV. Related Documents**

None

#### **V. Contacts**

<b>Policy Name</b>	<b>Office</b>	<b>Title</b>	<b>Telephone Number</b>	<b>Email</b>
<b>Questions Regarding Academic Standing</b>	Registrar	Registrar	(804) 862-6206	lwray@rbc.edu

#### **VI. Definitions**

None

#### **VII. Procedures**

##### **Academic Status**

Richard Bland College has three levels of academic status for its students: Good Standing, Academic Probation, and Academic Suspension. In order to continue in college, a student should maintain at least a 2.00 grade point average on all work attempted. If the grade point average is deficient, the student should be able to remove the deficiency within two semesters of full-time study in order to achieve the minimum 2.00 grade point average required for graduation.

## **Good Standing**

To continue in Good Standing, a student must meet or exceed the following minimum academic requirements:

1. At the end of the first semester (9-11 semester hours minimum not including developmental hours), the student must have attained a grade point average of .50;
2. At the end of the first semester (12 semester hours minimum not including developmental hours), the student must have attained a grade point average of 1.50;
3. At the end of the second semester (24 semester hours minimum not including developmental hours), the student must have attained a cumulative grade point average of 1.75;
4. At the completion of 45 semester hours (not including developmental hours), the student must maintain a cumulative grade point average of 2.00.

## **Academic Probation**

A student who has not met the minimum academic requirements in the preceding semester to maintain Good Standing will be placed on Academic Probation. The student will be notified of this action by a letter from the Registrar. A student on Academic Probation must meet the following conditions during the probation semester.

1. **The student's academic load may not exceed thirteen semester hours.**
2. The student must earn at least a 2.00 grade point average for the semester while on academic probation, or meet the requirements of Good Standing.

A student in violation of either of these two conditions will be subject to academic suspension from the College. At the end of the probation semester (or completion of 12 academic hours), the student may be:

1. Returned to Good Standing if the student has met the conditions of the probation semester and earned sufficient quality points;
2. Continued on Academic Probation if the student has met the conditions of the probation semester, but has not earned sufficient quality points to regain Good Standing. In such case, the student will be allowed to continue in college, but only on continued Academic Probation. If Good Standing is not regained at the end of the second semester of Academic Probation, the student will be placed on Academic Suspension; or
3. Placed on Academic Suspension if the student has not met the conditions of the first probation semester. (See Academic Suspension)

The student will be notified of such status by a letter from the Registrar.

A student admitted to Richard Bland College under Academic Probation from another college or university is subject to the same requirements as continuing Richard Bland College students under Academic Probation.

## **Academic Suspension**

A student placed on Academic Suspension is required to withdraw from the College for a minimum period of one semester. A student will be placed directly on Academic Suspension at the end of nine (9) hours attempted if the cumulative grade point average is below 0.50. Students placed on Academic Probation may be subject to Academic Suspension after one semester if the grade point average is not appropriate for the total number of credit hours attempted (See Academic Status - Good Standing). A student will be notified of Academic Suspension by a letter from the Registrar.

A student who is on Academic Suspension from RBC or any other college is not permitted to enroll in any program of the College for one full semester after suspension. If a student on Academic Suspension wishes to return to Richard Bland College, an application for readmission must be completed in the Admission Office in the Center for Student Affairs. Academic status (Good Standing or Academic Probation) will be determined at the time the student is readmitted. A student who has been suspended for a second time from Richard Bland College or from any other institution of higher education may not be considered for readmission/admission.

If a Richard Bland College student is suspended at the end of the spring semester and is pre-registered for a course during the Intersession (short term immediately following the Spring semester) the student will be permitted to complete that term and will receive credit for the course(s). However, the student will not be permitted to enroll in additional classes until the upcoming Spring semester. Pre-registration for any other Summer term following the Spring suspension will be terminated and tuition refunds will be issued. Credits earned while under suspension from this or any other college will not be accepted by Richard Bland College.

## **Academic Amnesty**

Although all credits and grades earned at Richard Bland College are a part of the permanent record, a student may petition through the Office of the Dean of Faculty for forgiveness of part or all of the academic record. This amnesty policy is a privilege extended to students who began their academic careers at Richard Bland College, or at any other college, and for whatever reasons experienced academic difficulty. Academic amnesty may be granted to students who have had at least a five-year interruption in college education, and upon re-enrollment in Richard Bland College, have established a satisfactory record. **To be forgiven those courses in which a "D" or "F" was earned at Richard Bland College, the student must first complete an equivalent of twelve (12) semester credits and then petition the Dean of Faculty in writing. The Dean of Faculty will determine if there is sufficient evidence to consider that the student is better able to succeed academically. After being granted amnesty, the student will retain credit and quality points for courses taken at Richard Bland College in which at least a "C" is earned. Courses for which academic amnesty have been granted will indicate "Amnesty" on the student's transcript. The cumulative grade point average will not include the hours attempted and quality points earned (if any) for those courses. Eligibility for academic honors, however, is determined on the basis of the student's entire academic record. If the**

student is a previous recipient of federal financial aid and is determined to be ineligible for financial aid because of not meeting Satisfactory Academic Progress guidelines as mandated by the federal government, the ability to receive financial assistance may not be granted until the student has completed a semester and has satisfactory grades meeting the requirements.

### **Challenging Academic Records**

**All course grades and changes in academic status become part of the student's permanent record.** If a student wishes to challenge a change in status to Academic Probation or to Academic Suspension, the student may petition for a hearing before the Academic Standards Committee. Such a petition should be forwarded in writing through the Registrar to the Committee. It may be that sufficient personal circumstances exist, not reflected in the mathematically derived grade point average, to warrant the Committee's waiving certain academic requirements in a given case or recalculating the student's grade point average. The Academic Standards Committee will hear the student and any concerned faculty member in order to reach its decision. The recommendation of the Committee will be reported to the Dean of Faculty, who will make the final decision and notify the student. The Committee is not authorized to change a grade.

## **Policy F.7.**

### **Policy Name: Degree/Certificate Requirements**

### **Responsibility for Maintenance: Dean of Faculty**

#### **I. Policy Statement**

RBC students who are candidates for degrees and certificates must fulfill the following requirements, except where exemptions or waivers are approved and recorded.

#### **II. Reason for Policy**

This policy is designed to ensure that the College awards degrees and certificates in accordance with applicable provisions of applicable Virginia laws and regulations and procedures of SCHEV and SACSCOC.

#### **III. Applicability of the Policy**

This policy shall apply to all students seeking degrees and certificates and to all employees responsible for making determinations concerning academic credit.

#### **IV. Related Document**

RBC College Catalog.

#### **V. Contacts**

<b>Policy Name</b>	<b>Office</b>	<b>Title</b>	<b>Telephone Number</b>	<b>Email</b>
<b>Questions Regarding Degree Requirements, Transfer Credits</b>	Registrar	Registrar	(804) 862-6206	lwray@rbc.edu

#### **VI. Definitions**

None

#### **VII. Procedures**

Students must complete the Application for Candidacy for Degree, available in the **Registrar's Office, by the first week in February for May graduation, mid-July for August graduation, and mid-November for December graduation.** (See the College Calendar for specific filing deadlines.)

Students who will be candidates for degrees are encouraged to check with the Registrar or their advisors regarding academic standing prior to the deadline for filing for degree. Candidates for December and May degrees are expected to participate in commencement exercises in May. Candidates for degrees in August may participate in May commencement exercises if they file by mid-February, have a 2.00 overall cumulative grade point average at the time of filing, and have completed all degree requirements by the end of the Summer Session and have registered for the required summer courses prior to the May Commencement. **Candidates may not exceed 12 credit hours to complete the Associate's Degree** during the summer. Students who file for August graduation and do not have a

2.00 overall cumulative grade point average at the end of the spring semester are not permitted to participate in Commencement.

The diploma will not be released if a student has an outstanding debt to the College.

Transfer credits will be awarded for courses completed at another accredited institution with grade of C or better for which a matching Richard Bland College course is currently offered. A maximum of 33 transfer credit hours will be accepted toward an Associate's Degree at Richard Bland College.

### **Second Associate's Degree**

Richard Bland College does not confer two degrees concurrently. A student who has already received an Associate's Degree's may earn a second but different Associate's Degree by meeting the following requirements:

Completing a minimum of 15 semester hours of additional course work during the semester in which the requirements for the second Associate's Degree are met at Richard Bland College after the date on which the first degree was earned;

Meeting all prerequisite and course requirements for the first Associate's Degree, as well as degree requirements for the second degree; and,

Earning a grade point average of 2.0 or higher in course work completed for the first and second Associate's Degree.

### **Exceptions**

Waivers and course substitutions may be approved by the Dean of Faculty in cases of special circumstance.

## **Policy F.8.**

### **Policy Name: Graduation and Commencement**

### **Responsibility for Maintenance: Dean of Faculty**

#### **I. Policy Statement**

RBC College degrees shall be awarded, and annual commencement ceremonies shall be planned and conducted, in accordance with this policy.

#### **II. Reason for Policy**

The policy is designed to ensure that degrees will be awarded in accordance with applicable law, and that commencement ceremonies will be conducted in accordance with applicable law and in a manner designed to appropriately honor graduates and their academic achievement.

#### **III. Applicability of the Policy**

This policy applies to all members of the College community involved in planning and conducting graduation and commencement ceremonies.

#### **IV. Related Document**

RBC College Policy F.7. Degree/Certificate Requirements.

#### **V. Contacts**

<b>Policy Name</b>	<b>Office</b>	<b>Title</b>	<b>Telephone Number</b>	<b>Email</b>
<b>Questions Regarding Commencement</b>	Enrollment	Dean of Enrollment	(804) 862-6261	jhart@rbc.edu

#### **VI. Definitions**

None

#### **VII. Procedures**

Students must complete the Application for Candidacy for Degree, available in the **Registrar's Office**, by the first week in February for May graduation, mid-July for August graduation, and mid-November for December graduation. (See the College Calendar for specific filing deadlines.)

#### **Graduation Honors**

Recognition is given at Commencement to students who have excelled in academic work. The minimum cumulative grade point averages required for graduation honors are:

Cum Laude ..... 3.25 GPA

Magna Cum Laude ..... 3.50 GPA

Summa Cum Laude ..... 3.80 GPA

### **Planning of Commencement Ceremonies**

Commencement exercises, including without limitation the location and date of ceremonies and the identities of guest speakers, shall be planned by the Office of Communications and approved by the President.

## **Policy F.9.**

### **Policy Name: Approval of Curricula**

### **Responsibility for Maintenance: Dean of Faculty**

#### **I. Policy Statement**

RBC College curricula shall be changed in accordance with this policy.

#### **II. Reason for Policy**

The policy is designed to ensure that changes to RBC curricula are made with due consideration of academic, college, and administrative concerns.

#### **III. Applicability of the Policy**

All members of the College community involved in formulating changes to academic curricula should be familiar with this policy.

#### **IV. Related Documents**

None

#### **V. Contacts**

<b>Policy Name</b>	<b>Office</b>	<b>Title</b>	<b>Telephone Number</b>	<b>Email</b>
<b>Questions Regarding Proposing Courses</b>	Academics	Dean of Faculty	(804) 862-6210	vllindquist@rbc.edu

#### **VI. Definitions**

None

#### **VII. Procedures**

##### **Procedure for Adding a Course to the Curriculum**

1. The faculty member proposing the addition of a new course will fill out a Proposal for New Course form and sign it.
2. Copies of the proposal will be distributed to all members of the Division where the course will be taught and a Division meeting will be held to discuss the proposal.
3. After the proposal has been discussed in the Division, the faculty member will submit it to the Instructional Programs Committee.
4. The Instructional Programs Committee will set a meeting date and distribute a copy of the Proposal for New Course form to all members of the faculty as part of the agenda for the meeting.
5. The Instructional Programs Committee will approve or disapprove the proposed course and submit such recommendation to the Faculty Senate.
6. The Faculty Senate will submit their recommendations to the College Council
7. The College Council will recommend to the President either approval, with any appropriate modifications, or disapproval of the course.

## **Procedure for Prioritization of Academic Disciplines for Curtailment or Discontinuance**

During times of financial and enrollment constraint, it is essential that institutions of higher education periodically review their academic disciplines in order to make reasonable and educationally sound decisions regarding the overall allocation of funds and personnel for their particular institution.

Decisions of this nature that affect the viability and financial well-being of the institution may be necessary due to a substantial decline in student enrollment, a reduction in State allotments or appropriations, loss of other income received from non-State sources, or an internal reallocation process.

### **Guidelines for the Review of Academic Disciplines:**

Listed below are several broad areas that shall be used for the purpose of making decisions involving academic discipline curtailment or discontinuation. Each of the areas is followed by questions illustrating some specific kinds of inquiry that should be developed.

1. Mission
  - a. What is the relationship of the discipline to the mission of the College?
  - b. How is it related to the mission of the Division?
2. Quality
  - a. What is the overall quality of the discipline at present in terms of instruction?
  - b. What is the performance of the students currently enrolled in the discipline?
  - c. What is the quality of the faculty affiliated with the discipline in terms of their academic preparation, teaching, and professional service?
  - d. What is the quality and quantity of library holdings for the discipline and how do they compare with established standards?
  - e. What is the quality of equipment, facilities, and laboratories dedicated to the program?
3. Cost and Revenues:
  - a. What are the direct and indirect costs associated with the discipline per year/biennium?
  - b. How much revenue does the discipline generate from tuition, fees, and other sources of funding?
  - c. What is the cost effectiveness of the discipline?
  - d. What resources will be required to maintain the discipline at its present level or to raise it to a desired level of excellence within a reasonable period of time?
  - e. What is the cost per student credit hour in the discipline? How does it compare with the College average and similar disciplines at other institutions?
  - f. What revenue loss will be anticipated if the discipline is discontinued?
  - g. What is the cost of continuing employment for faculty members, both tenured and non-tenured, as well as for clerical and other non-faculty personnel directly associated with the discipline for the next two biennia?

- h. **What is the significance of the discipline's curtailment or discontinuation on the College's financial situation?**
- 4. Enrollment and Productivity:
  - a. **What is the pattern of the discipline's current and past (5 years) enrollment in terms of numbers and types of students?**
  - b. What are the enrollment projections for the discipline for the next five years?
  - c. **Can the discipline's enrollment be improved by some simple efforts?**
  - d. **What has been the discipline's retention rate over the past five years?**
- 5. Relationship with Other Programs:
  - a. How does the discipline relate with others offered or planned by the College?
  - b. To what **extent are the discipline's faculty involved with those of other disciplines** in joint instructional activities?
- 6. Distinctive Program Features:
  - a. Is the discipline unique in concept, design, or implementation?
  - b. Does the discipline address specific local or regional needs that cannot be met in any other manner?
  - c. Does the discipline have a demonstrable significant value to the area and population served by the College?
- 7. Comparable Disciplines:
  - a. Are there disciplines comparable to the one being considered for curtailment or closure offered by other institutions in Virginia?
  - b. If such disciplines are offered by other institutions in Virginia, can they **respond adequately to the needs of the College's service area** residents?
- 8. Impact of Discontinuation:
  - a. What would be the **impact of the discipline's curtailment or discontinuation** on other College units and programs?
  - b. What will be the effect of curtailing or closing the discipline on the **educational opportunities available in the College's service area?**
  - c. Will the curtailment or closure of the discipline have an adverse effect on the recruitment efforts of the College?
  - d. **How will the discipline's curtailment or closure affect the College's affirmative action goals?**
- 9. Alternatives to Curtailment or Discontinuation:
  - a. As an alternative to **the discipline's curtailment or closure**, what are the possibilities of cost reduction, merger with another discipline, or development of a joint or cooperative offering with another institution?
  - b. Is there a viable educational or fiscal alternative to discipline curtailment or closure that can be recommended?
  - c. Have any of the following been considered: voluntary early retirements, voluntary reductions in salary, outside funding, or summer teaching as a part of regular load?

The procedures detailed below shall be followed in the review of academic disciplines for the purpose of possible curtailment or discontinuance:

1. The Dean of Faculty shall charge the Instructional Programs Committee to undertake the review of any discipline or disciplines that may fall under the purview of the provisions of this policy.
2. The Instructional Programs Committee shall apply the guidelines provided under VIII. T. 2. of this policy in its review procedure, and its recommendations shall be communicated to the faculty and the Dean of Faculty.

## **Policy F.10.**

### **Policy Name: Academic Calendar**

### **Responsibility for Maintenance: Dean of Faculty**

#### **I. Policy Statement**

RBC shall set an academic calendar and include it on the College website and in the College Catalog.

#### **II. Reason for Policy**

The policy is designed to ensure that the Academic Calendar, which provides useful dates to help navigate through the semester, is available to students and faculty. Important dates include days to register and withdraw from classes, examinations as well as scheduled college closings and breaks. The Academic Calendar must include the requisite number of class meetings for each academic course exclusive of holidays and other closings.

#### **III. Applicability of the Policy**

All members of the College community should be familiar with this policy.

#### **IV. Related Documents**

#### **V. Contacts**

<b>Policy Name</b>	<b>Office</b>	<b>Title</b>	<b>Telephone Number</b>	<b>Email</b>
<b>Questions Regarding the Calendar</b>	Academics	Dean of Faculty	(804) 862-6210	vlliindquist@rbc.edu

#### **VI. Definitions**

#### **VII. Procedures**

The Dean of Faculty, in consultation with the Faculty Assembly and the division chairs, will set the Academic Calendar in advance of the publication of the college catalog. Changes to the Academic Calendar that may be required will be posted to the online version of the Calendar.

## **Policy F.11.**

### **Policy Name: Reporting and Use of Assessment Results**

### **Responsibility for Maintenance: Dean of Faculty**

#### **I. Policy Statement**

Academic programs and support services at Richard Bland College are evaluated to assure their quality. In addition, students are surveyed to obtain information on their satisfaction with faculty and staff. Faculty members are evaluated on teaching methodologies and effectiveness each semester. Students are surveyed upon graduation to measure their satisfaction with the College. The results of this process are used internally and are reported to the State Council of Higher Education in Virginia and the Southern Association of Colleges and Schools periodically. All data collected for assessment is held under strict confidence and is never used to evaluate or identify individual student performance.

#### **II. Reason for Policy**

This policy is intended to ensure efficient and productive use of outcome assessment data.

#### **III. Applicability of the Policy**

All members of the College community should be familiar with this policy.

#### **IV. Contacts**

<b>Policy Name</b>	<b>Office</b>	<b>Title</b>	<b>Telephone Number</b>	<b>Email</b>
<b>Questions regarding academic assessment</b>	Dean of Faculty	Dean of Faculty	(804) 862-6210	vliindquist@rbc.edu
<b>Questions regarding assessment of support services</b>	Dean of Enrollment	Dean of Enrollment	(804) 862-2107	jhart@rbc.edu

#### **V. Related Documents**

RBC Academic Assessment Plan  
RBC Policy Compliance with FERPA

#### **VI. Forms/Online Processes**

## **Policy F.12.**

**Policy Name: Hazing Prevention**

**Responsibility for Maintenance: Chief Human Resource Officer**

### **I. Policy Statement**

It is the responsibility of students and student organizations to encourage an atmosphere of learning, social responsibility, and respect for human dignity and to provide positive influence and constructive development for members and aspiring members. Organizations are expected to utilize good judgment to determine the abilities of individual students as they relate to organizational activities and requirements. "Hazing" is an unproductive and hazardous custom that is incongruous with this responsibility and has no place in our College life, either on or off campus.

### **II. Reason for Policy**

To ensure compliance with the Virginia Code. Section 18.2-56 of the Code of Virginia which provides the following:

It shall be unlawful to haze so as to cause bodily injury, any student at any school, college, or university.

Any person found guilty thereof shall be guilty of a Class 1 misdemeanor.

Any person receiving bodily injury by hazing shall have a right to sue, civilly, the person or persons guilty thereof, whether adults or infants.

The President or other presiding official of any school, college or university receiving appropriations from the state treasury shall, upon satisfactory proof of the guilt of any student hazing another student, sanction and discipline such student in accordance with the institution's policies and procedures. The institution's policies and procedures shall provide for expulsions or other appropriate discipline based on the facts and circumstances of each case and shall be consistent with the model policies established by the Department of Education or the State Council of Higher Education for Virginia, as applicable. The president or other presiding official of any school, college or university receiving appropriations from the state treasury shall report hazing which causes bodily injury to the attorney for the Commonwealth of the county or city in which such school, college or university is, who shall take such action as he deems appropriate.

For the purposes of this section, "hazing" means to recklessly or intentionally endanger the health or safety of a student or students or to inflict bodily injury on a student or students in connection with or for the purpose of initiation, admission into or affiliation with or as a condition for continued membership in a club, organization, association, fraternity, sorority, or student body regardless of whether the student or students so endangered or injured participated voluntarily in the relevant activity.

### **III. Applicability of the Policy**

This policy applies to all college students of Richard Bland College.

**IV. Related Documents**  
**Student Code of Conduct**  
Code of Virginia 18.2-56

**V. Contacts**

<b>Subject</b>	<b>Office</b>	<b>Title</b>	<b>Telephone Number</b>	<b>Email</b>
<b>Hazing Prevention Policy</b>	Human Resources & Compliance	Director of Human Resources & Compliance	(804) 862-6100 ext 6208	dbell@rbc.edu

**VI. Definitions**

“Hazing” means any action taken or situation created, intentionally, whether on or off campus, to produce mental or physical discomfort, embarrassment, harassment, or ridicule. Such activities and situations include paddling in any form; creation of excessive fatigue; physical and psychological shocks; quests, treasure hunts, scavenger hunts, road trips or any other such activities; wearing publicly, any apparel which is conspicuous and not normally in good taste; engaging in public stunts of buffoonery; morally degrading or humiliating games or activities; late work sessions which interfere with scholastic activities; and any other activities which are not consistent with the regulations and policies of the College.

**VII. Procedures**

Hazing shall include, but not be limited to forcing, requiring, or expecting pledges, associate members, prospective members, or members of university organizations to participate in any of the following actions or activities:

1. Paddling
2. Kidnapping
3. All forms of physical activity which are used to harass or which are not part of an organized athletic context and not specifically directed toward constructive work
4. Road trips (involuntary excursions)
5. Confinement in any room or compartment
6. Spraying, painting, or pelting with any substance
7. Burying in any substance
8. Nudity at any time
9. Requiring or compelling activities creating unnecessary work, duties, or detention, or any that do not allow adequate time for study
10. Requiring or compelling exposure to uncomfortable elements
11. Verbal harassment
12. Requiring or compelling the wearing, in public, of apparel that is not in good taste
13. Requiring or compelling the forced consumption of any liquid (including alcohol) or solid substance
14. Depriving students of sufficient sleep (six consecutive hours per day is normally considered to be a minimum)

15. Burning, branding, or tattooing any part of the body, or any other activity, whether voluntary or involuntary, which may cause physical injury or endanger the life of the person being hazed
16. Psychological Hazing, which is defined as any act which is likely to: (a) compromise the dignity of a member or prospective member, (b) cause embarrassment or shame to a member or prospective member, prospective member to be the object of malicious, (c) cause a member or amusement or ridicule, or emotional strain (d) cause psychological harm or substantial emotional strain
17. Misleading prospective members in an effort to convince them that they will not become members, that they will be hurt during induction / initiation, or any other activity that would cause extreme mental stress
18. Carrying any item (shields, paddles, bricks, hammers, etc.) That serve no constructive purpose or that are designed to punish or embarrass the carrier
19. Blindfolding and parading individuals in public areas, blindfolding and transporting in a motor vehicle, or privately conducting blindfolding activities that serve no constructive purpose
20. Binding or restricting any person's arms or legs that would prohibit them from moving on their own

Upon learning of hazing that causes bodily injury, the Police Chief shall report such conduct to the appropriate Commonwealth's Attorney.

## **VIII. Forms/Online Processes**

See the Office of Human Resources and Compliance for additional information.

## **Policy F-13**

### **Policy Name: Student Records and FERPA**

### **Responsibility for Maintenance: Registrar**

#### **I. Policy Statement**

The College protects the privacy of student records and provides students with access to their own records in accordance with the Family Educational Rights and Privacy Act of 1974 (FERPA), a Federal law which requires that a written institutional policy be established and that a statement of adopted procedures covering the privacy rights of students be made available. The law provides a student the right to inspect and review information contained in his/her education record, to challenge the contents of the education record, and to have a hearing if the outcome of the challenge is unsatisfactory. The student may submit explanatory statements for inclusion in the files if the student feels the decision of the hearing panel to be unacceptable.

#### **Student Rights**

The law provides that the institution will maintain the confidentiality of student education records. Richard Bland College of William & Mary in Virginia accords all the rights under the law to students in attendance at the College.

1. Right to Inspect and Review: Students have the right to inspect and review their own education records within 45 days after the day the College receives a request for access. Education records available for inspection include, but are not limited to admissions, personal, academic, and financial files, as well as academic and placement records. Refer to the definition of Education Records in Section VI for more information. Students may have copies made of their records with certain exceptions (e.g., copy of the academic record for which a financial hold exists, or a transcript of an original or source document that exists elsewhere).
2. Right to Request Amendment: If a student believes that information contained in the student's education record is inaccurate, misleading, or otherwise violates the student's right to privacy, the student may request that the College amend the records(s). Initial requests for amendment of an education records should be made to the College Registrar and may be resolved informally. If the College Registrar decides not to amend the records as requested, the student will be notified of the right to request a formal hearing. Procedures for both informal and formal resolution of a request for amendment are outlined below in Section VII.
3. Rights Concerning Disclosure: Students have the right to consent to disclosures of personally identifiable information from their education records except to the extent that FERPA or superseding law authorizes disclosure without consent of the student. Consent to disclose education records must be written, signed, and dated. Valid written consent must also specify the records that may be disclosed, the purpose for which they may be disclosed, and the persons or class or persons to whom the information may be disclosed.

## **Disclosure of Student Education Records without Consent**

1. In general, the College will not disclose personally identifiable information from education records without prior written consent of the student. The College may disclose an education record or information from an education records when all personally identifiable information has been redacted, such that a reasonable person in the school community without special knowledge of the relevant circumstances would not be able to identify the student from the record. FERPA permits disclosure of education records in the following circumstances:
  2. Disclosures to school officials with legitimate educational interests. In general, such disclosures include those made to members of the Faculty or personnel in the Office of the Registrar, the Office of the Dean of Faculty, the Financial Aid Office, the Division of Student Affairs, the Office of the President and other College personnel as necessary for them in the exercise of their official duties. (See Section VI for the definition of school official).
  3. Disclosures of directory information. At its discretion, the College may provide directory information in accordance with the provisions of FERPA. Students may withhold directory information from disclosure by notifying the Registrar in writing within two weeks after the first day of class for each term. (See Section IV for the definition of directory information).
  4. Disclosures to a Transfer Institution. The College may make disclosures of **students' education records** to another educational institution where the student seeks or intends to enroll, or where the student is already enrolled so **long as the disclosure is for purposes related to the student's enrollment or transfer**.
  5. Disclosure to the student him/herself.
  6. Disclosures to parents of dependent students. The College may disclose personally identifiable information from education records to parents of a student considered a dependent for federal income tax purposes. The College may not presume tax dependency and must obtain either a copy of the **parents' most recent tax return (financial information may be redacted)** or an acknowledgment from the student that the student is in fact a dependent. This exception is generally not available for international students, whose parents generally do not file U.S. tax returns.
  7. Disclosures made in connection with a health or safety emergency. The College may disclose personally identifiable information to appropriate parties if the disclosure is necessary to protect the health or safety of the student or other individuals.
  8. Disclosures to comply with a judicial order or lawfully issued subpoena.

9. Disclosure to a court in connection with a lawsuit. If the student brings a lawsuit against the College, the College may disclose information from education records that is relevant to the action and does not relate to other students not involved in the lawsuit.
10. Disclosure to parents of a student who has violated drug and alcohol rules. The College may disclose information from education records to parents of a student, who is under 21 at the time of the disclosure, if that information **relates to the College's determination that the student has violated the College's rules regarding drugs or alcohol.**
11. **Disclosure of the "final results" of a disciplinary proceeding. If the College** determines the student is an alleged perpetrator of a crime of violence or non-forcible sex offense and the student has committed a violation of College policy or rules, then the College may disclose the final results of the disciplinary proceeding to the public. The final results are limited to the name of the student, the basic nature of the violation the student was found to have committed, and a description and the duration of any sanction the College imposed against the student.
12. Disclosure to a victim of an alleged of an alleged perpetrator of a crime of violence or non-forcible sex offense. The College may disclose the final results of a disciplinary hearing to such a victim and may make such disclosure regardless of the outcome of the proceeding. The final results are limited to the name of the student, the basic nature of the violation the student was found to have committed, and a description and the duration of any sanction the College imposed against the student.
13. Disclosure in connection with financial aid that the student has applied for or received. The College may make disclosures in connection with financial aid if **the disclosure is for the purpose of determining the student's eligibility for**, the amount of, the conditions for the aid, or to enforce the terms and conditions of the aid.
14. Disclosure to authorized representatives of the U. S. Comptroller General, the U. S. Attorney General, the U.S. Secretary of Education, or State and local educational authorities, such as a State postsecondary authority that is responsible for supervising the university's State-supported education programs. Disclosures under this provision may be made in connection with an audit or evaluation of Federal- or State-supported education programs, or for the enforcement of or compliance with Federal legal requirements that relate to those programs. These entities may make further disclosures of personally identifiable information to outside entities that are designated by them as their authorized representatives to conduct any audit, evaluation, or enforcement or compliance activity on their behalf.
15. Disclosures to accrediting organizations to carry out their accrediting functions.

16. Disclosures to organizations conducting studies for education institutions to develop, validate, or administer predictive tests; administer student aid programs; or improve instruction. Disclosures to these organizations are permitted if the studies are conducted in a manner that prevents personal identification of parents and students by anyone other than representatives of the organizations, the information is destroyed when no longer needed for purposes of the studies, and the institution enters into a written agreement with the organization specifically limiting its use of the information in these ways.
17. Disclosures concerning sex offenders. The College may make certain disclosures that consist of information provided to the institution pursuant to the Violent Crime Control and Law Enforcement Act of 1994 (commonly known as the Wetterling Act).

## **II. Reason for Policy**

FERPA is designed to protect the confidentiality of the records that educational institutions maintain on their students, give students access to those records, and assure the accuracy of those records. This policy has been established to inform students of their rights under FERPA, to inform employees, student workers, third party contractors and volunteers of Richard Bland College's obligations under FERPA, and to describe the circumstances under which the College may disclose student education records.

## **III. Applicability of the Policy**

This policy applies to students in attendance at and employees of Richard Bland College. This policy governs the treatment of records directly relate to students and maintained by Richard Bland College.

## **IV. Related Documents**

The Family Educational Rights and Privacy Act (FERPA) (20 U.S.C. § 1232g; 34 CFR Part 99)

### V. Contacts

<b>Policy Name</b>	<b>Office</b>	<b>Title</b>	<b>Telephone Number</b>	<b>Email</b>
<b>Student Records and FERPA</b>	Office of the Registrar	Registrar	(804) 862-6206	lray@rbc.edu

## **VI. Definitions**

**"Attendance"** includes but is not limited to attendance in person or by paper correspondence, videoconference, satellite, internet, or other electronic information and telecommunications technologies for students who are not physically present in the classroom. The College defines, in accordance with FERPA, the first day of class as the date when a student is first considered to be "in attendance."

**“Directory Information”** means information that would not generally be considered harmful or an invasion of privacy if disclosed, including, but not limited to:

- the student’s name;
- address;
- telephone listing;
- electronic mail address;
- photograph;
- date and place of birth;
- major field of study; grade level;
- enrollment status (e.g., undergraduate, full-time or part-time);
- dates of attendance;
- participation in officially recognized activities and sports;
- weight and height of members of athletic teams;
- degrees, honors and awards received;
- and the most recent educational agency or institution attended.

**“Education Records”** means those records that are directly related to a student; and maintained by the College or an agent for the College. Records may include documents, files, or other media in electronic or tangible form. Education Records do not include sole possession records, law enforcement records, certain employment records, treatment records, alumni records, or peer grades. For a full list of what the definition of education records specifically excludes, see title 34 of the Code of Federal Regulations Part 99.3.

**“School Official”** means a person employed by the College in an administrative, supervisory, academic, research, or support staff position (including law enforcement unit personnel and health staff); a person serving on the Board of Visitors; or a student serving on an official committee, such as a disciplinary or grievance committee. A school official also may include a volunteer or contractor outside of the College who performs an institutional service of function for which the school would otherwise use its own employees and who is under the direct control of the school with respect to the use and maintenance of personally identifiable information from education records, such as an attorney, auditor, or collection agent or a student volunteering to assist another school official in performing his or her tasks. A school official has a legitimate educational interest if the official needs to review an education record in order to fulfill his or her professional responsibilities for the College.

## **VII. Procedures**

Requests for Inspection and Review:

The College Registrar has been designated by the institution as the individual responsible for coordinating the inspection and review procedures for student educational records. Students wishing to review their education records must make written requests to the Registrar listing or describing the item or items of interest. Refer to the definition of Education Records in Section VI for more information. Students may have copies made of their records with certain exceptions (e.g., copy

of the academic record for which a financial hold exists, or a transcript of an original or source document that exists elsewhere).

Students do not have the right to access certain records, including but not limited to:

- Financial information submitted by their parents
- Confidential letters and recommendations associated with admissions, employment, or job placement honors to which they have waived their rights of inspection and review
- Records in the sole-possession of the maker (e.g. faculty member) used only as a memory aid and not shared with anyone other than a temporary substitute
- Records containing information about more than one student (in such cases, the College will permit access only to that part of the record that pertains to the inquiring student, with other information removed or redacted).

**Requests for Amendment and Right to a Hearing:**

Initially, the student may discuss the problem informally with the Registrar. If the decision is in agreement with the student's request, the appropriate record will be amended. If not, the student will be notified within a reasonable period of time that the record will not be amended, and the student will be informed by the Registrar of the right to a formal hearing. A student request for a formal hearing must be made in writing to the Dean of Faculty and Academic Effectiveness who, within a reasonable period of time after receiving such request, will inform the student of the date, place, and the time of the hearing. A student may present evidence relevant to the issues raised and may be assisted or represented at the hearing by one or more persons of their choice, including attorneys at the student's expense. The hearing panel that will adjudicate such challenges will be the Dean of Faculty and Academic Effectiveness, the Dean of Enrollment Services, and the Registrar.

A student who believes an educational record contains information that is inaccurate or misleading or is otherwise in violation of privacy or other rights may discuss the problem informally with the Registrar. **If the Registrar decides in favor of the student's request, the appropriate record will be amended. If not, the student will be notified within a reasonable period of time that the record will not be amended, and the student will be informed by the Registrar of the right to a formal hearing.** A student request for a formal hearing must be made in writing to the Dean of Faculty who, within a reasonable period of time after receiving such request, will inform the student of the date, place, and the time of the hearing. A student may present evidence relevant to the issues raised and may be assisted or represented at the hearing by one or more persons of their choice, including attorneys at the student's expense. The hearing panel that will adjudicate such challenges will be the Dean of Faculty, the Dean of Enrollment Services, and the Registrar.

The decision of the hearing panel will be final, and will be based solely on the evidence presented at the hearing. Notification will consist of written statements summarizing the evidence and stating the reasons for the decisions. The decision will be delivered to the student. Education records will be corrected or amended in

accordance with the decision of the hearing panel if the decision is in favor of the student. If the decision is unsatisfactory to the student, the student may place in the education records statements commenting on the information in the records, or statements setting forth any reasons for disagreeing with the decision of the hearing panel. The statements will be maintained as part of the student's record and released whenever the record in question is disclosed. Students who believe the adjudication of their challenges was unfair or not in keeping with the provisions of the Act may submit written requests to the President of the College for assistance.

Students who believe their rights under FERPA have been violated may also file a complaint with the U.S. Department of Education. The Office that administers FERPA is the Family Policy Compliance Office, and complaints can be mailed to the following address:

Family Policy Compliance Office  
U.S. Department of Education  
400 Maryland Avenue, SW.  
Washington, DC 20202

Copies of the College's policy and procedures are available to students (and authorized parents of students) upon request at the Office of the Registrar.

## **Policy G.1.**

### **Policy Name: Honor Code**

### **Responsibility for Maintenance: Dean of Faculty**

#### **I. Policy Statement**

- The Honor Code at Richard Bland College is a democratic system of government that is upheld by students, whose efforts are actively supported by the administrative and teaching faculty. The voices retained in the governance of the honor system regard this method of protecting those who teach and/or learn as more than a pragmatic political consideration. The **letter and the spirit of the College's honor code promote the** virtues that sustain a democratic society—such as integrity, social responsibility, and moral courage.
- As a branch of The College of William & Mary, which introduced the honor system into American higher education, Richard Bland College commits itself to the perpetuation of high standards and expectations of its collegiate community. With an aim of educating individuals, the Judicial Committee shall not discriminate in its membership or in its dealings with the accused on the basis of race, color, religion, national origin, gender, sexual orientation, economic status, and/or disability.

#### **II. Reason for Policy**

To prevent academic dishonesty and/or other forms of dishonesty; cheating, stealing, or lying.

#### **III. Applicability of the Policy**

Applicable to College employees and students.

#### **IV. Related Documents**

Appendix 3 of the Student Handbook and @ [www.rbc.edu/campus-life/honor-code/](http://www.rbc.edu/campus-life/honor-code/)

#### **V. Contacts**

Policy Name	Office	Title	Telephone Number	Email
<b>Honor Code</b>	Dean of Faculty	Dean of Faculty	(804) 862-6491	vlindquist@rbc.edu

#### **VI. Definitions**

**Cheating:** The act of wrongfully using or taking the ideas or work of another in order to gain an unfair advantage. It includes, but is not limited to:

- The act of plagiarism;
- The acts of giving unauthorized aid to another student or receiving unauthorized aid from another person on tests, quizzes, assignments or examinations;
- The acts of using or consulting unauthorized materials or using unauthorized equipment or devices on tests, quizzes, assignments or examinations;

- The acts of using any material portion of a paper or project to fulfill the requirements of more than one course unless the student has received prior permission to do so; or
- The acts of intentionally commencing work or failing to terminate work on any examination, test, quiz or assignment according to the time constraints imposed.
- **The term "assignment" includes any work, required or volunteered, and submitted to a faculty member for review and/or academic credit, or any work, required or volunteered, submitted for publication in a College-sponsored or other publication, or any work, required or volunteered, submitted for use in conjunction with a College-sponsored event or activity.** All academic work undertaken by a student must be completed independently unless the faculty member or other responsible authority expressly authorizes collaboration with another.

**Plagiarism:** When a student, with intent to deceive or with reckless disregard for proper scholarly procedures, presents any information, ideas, or phrasing of another as if they were his or her own and does not give appropriate credit to the original source. Proper scholarly procedures require that all quoted material be identified by quotation marks, or indentation on the page, and the source of information and ideas, if from another, must be identified and be attributed to that source. Students are responsible for learning proper scholarly procedure. While any amount of improperly unattributed material may be sufficient to find plagiarism, a student may be presumed to have acted with intent to deceive or with reckless disregard for proper scholarly procedures when a significant amount of improperly attributed material is presented as if it were **the student's own work. In the absence of proof of the accused's intent, the hearing panel shall determine whether the amount of improperly attributed material is so significant that intent may be presumed.**

**Stealing:** The intentional taking or appropriating of the property of another without consent or permission and with the intent to keep or use the property without the **owner's or the rightful possessor's permission. Although the prohibition against** stealing includes property of whatever nature, it also covers theft of the academic work product of another.

**Lying:** The expression of a material untruth made with the intent to mislead another or with reckless disregard for the truth of the matter asserted. Lying is a violation of the Honor Code when the material untruth is uttered or presented, verbally, electronically, or in writing, to another member of the College community (student, faculty or staff), to any person while on College property or at activities sponsored by the College or College-affiliated groups, or to any person when the student actively represents himself/herself as a student at the College. An untruth is material when it relates to or affects in a significant way, academic as well as non-academic activities of legitimate concern to the College community. Lying includes, but is not limited to, forgery or the use of false identifications, under the above-described circumstances.

## **VII. Procedures**

All Honor Code violations will be referred to the Student Conduct Board and if needed, a hearing will be conducted by the Student Conduct Board and follow the Student Conduct Board Process and Procedures.

## **Policy G.2.**

### **Policy Name: Use of Identification Cards**

### **Responsibility for Maintenance: Director of Public Safety and Chief of Police**

#### **I. Policy Statement**

All RBC employees, including adjunct faculty and wage staff, and students enrolled for one or more credits are required to obtain a valid RBC ID card. Students residing on campus must have a valid RBC ID card to enter the residence halls. If a student is found to be using an RBC ID card that does not belong to them they will be subjected to sanctions from the student conduct board.

#### **II. Reason for Policy**

To ensure the safety of the campus community.

#### **III. Applicability of the Policy**

This policy is applicable to all employees and students of Richard Bland College.

#### **IV. Related Documents**

#### **V. Contacts**

<b>Policy Name</b>	<b>Office</b>	<b>Title</b>	<b>Telephone Number</b>	<b>Email</b>
<b>Use of ID Cards</b>	Safety & Security	Director of Public Safety and Chief of Police	(804) 862-6203	jsbrown@rbc.edu

#### **VI. Definitions**

#### **VI. Procedures**

The student's information must be available in the campus ID Card Office database prior to the card being issued. The student must sit for a photo of his/her face taken from the front. The facial image must be unobstructed (i.e., no sunglasses, headwear that obscures the face, etc.; the only exceptions are items worn for cultural or religious reasons). The ID Card Office staff will produce the ID card and issue it to the student who will sign a record of receipt for the card.

## **Policy G.3.**

### **Policy Name: Intercollegiate Athletics Participation**

### **Responsibility for Maintenance: Athletic Director**

#### **I. Policy Statement**

- The Athletics Department is committed to supporting the College's mission by making a difference in the lives of student athletes. Athletics is an **educational opportunity and experience that complements a student's formal** classroom education. Athletic participation helps to facilitate the development of young adults by teaching and reinforcing life skills. Collegiate athletics requires a special commitment and willingness to accept greater expectations and responsibilities. First and foremost, the College expects its student-athletes to be successful in the classroom. Additionally, student-athletes are expected to compete at the highest level while learning valuable life lessons by participating as part of a team and living, learning and contributing to a diverse community.
- The College will be recognized as a nationally competitive athletics program dedicated to positively influencing the academic, personal, social and athletic development of its student-athletes. The athletics program will compete to win while teaching life lessons, reinforcing healthy behaviors and providing opportunities to learn new skills and develop positive habits that collectively assist student-athletes in reaching their full potential.

#### **II. Reason for Policy**

This policy is intended to make clear the nature of intercollegiate athletics participation as a privilege, not a right, and to describe certain behavioral expectations for student athletes. This policy is not intended, nor shall it be construed, to limit coaching staff discretion as to team membership, participation, playing time and similar decisions, subject to compliance with the specific minimum standards set forth above.

#### **III. Applicability of the Policy**

All Athletic Department staff, actual and prospective student-athletes, and Richard Bland College athletics boosters should be familiar with this policy.

#### **IV. Related Documents**

[NJCAA Handbook/Casebook](#)

[Clarification of Intercollegiate Athletics Policy Guidance: The Three-Part Test](#)

[Office of Civil Rights & Title IX Enforcing info from US Dept. of Ed](#)

#### **V. Contacts**

<b>Policy Name</b>	<b>Office</b>	<b>Title</b>	<b>Telephone Number</b>	<b>Email</b>
<b>Intercollegiate Athletics Participation</b>	Athletics Department	Athletic Director	(804) 862-6250	cmoore@rbclions.org

## **VI. Definitions**

## **VII. Procedures**

Student athletes must comply with:

- Applicable federal, state and local law
- Richard Bland College Student Conduct and Disciplinary Procedures
- National Junior College Athletic Association (NJCAA) rules and regulations
- Athletic Department procedures, rules and regulations
- Team rules and coaching instructions

Each individual involved in intercollegiate athletics is obligated to know and act in full compliance with these requirements; and to report any violation of NJCAA, conference and/or College rules of which he or she is aware to his or her head coach or the Athletics Director.

If a student-athlete is involved in conduct that violates any or all of these requirements, he or she will be subject to appropriate disciplinary action to be **determined at the discretion of the team's Head Coach and/or the Athletic Director** (or a designee). Such disciplinary action may include, without limitation, temporary or permanent revocation of athletic privileges, and is in addition to any other consequences that may apply pursuant to applicable College policies, procedures, rules and regulations.

## **Policy H.1.**

### **Policy Name: Cash Controls and Management**

### **Responsibility for Maintenance: Chief Financial Officer**

#### **I. Policy Statement**

All cash controls and management shall be managed in accordance with the procedures set forth in this policy.

#### **II. Reason for Policy**

As part of the Richard Bland College (RBC) shared governance structure, the RBC committee reports to the William & Mary Board of Visitors.

This policy is intended to ensure that adequate finance procedures are maintained. This policy provides the general guidelines for controlling cash items (checks, currency, and coin).

#### **III. Applicability of the Policy**

All College employees should be familiar with this policy.

#### **IV. Related Documents**

<https://www.trs.virginia.gov/cash/>

#### **V. Contacts**

Policy Name	Office	Title	Telephone Number	Email
<b>Cash Controls and Management</b>	Finance	Chief Financial Officer	(804) 862-8560	phoward@rbcl.edu

#### **VI. Definitions**

##### **Internal Controls Framework**

- Control Environment-sets the tone for the organization, influencing the control consciousness of its people. It is the foundation for all other components of internal control.
- Risk Assessment-the identification and analysis of relevant risks to the achievement of objectives, forming a basis for how the risks should be managed
- Information and Communication-systems or processes that support the identification, capture, and exchange of information in a form and time frame that enable people to carry out their responsibilities
- Control Activities-the policies and procedures that help ensure management directives are carried out.
- Monitoring-processes used to assess the quality of internal control performance over time.

## **VII. Procedures**

It is College policy to minimize the number of departments collecting cash items. Each collection point may have different requirements for cash item collection and may use different numbers of employees. However, there are several basic rules of control that must be followed. All College employees involved with cash item collection should both be aware of, and comply with, these rules.

The basic rules governing receipt of cash items are:

- All cash items received must be recorded immediately and deposited as follows:
  - Deposit within 24 hours to Cashiers office is required for total receipts exceeding \$100.
  - Weekly deposit is required for all receipts. Items must be properly secured--preferably in a departmental safe or in a locked file cabinet, desk, or cash box.
- Cash items on hand and in the departmental account must be accurately stated and controlled by appropriate safeguards.
- Departmental systems and procedures must provide adequate and appropriate controls over the receipt, storage, and deposit of cash items.
- Only College employees, no volunteers and students, can handle cash.

Note: All cash operations are subject to review by the College's internal (W&M) and external auditors. Therefore, ensure that all receipts can be related to a deposit, and that all deposits can be directly traced to supporting documentation.

### Basic Controls for the Receipt of Cash Items

- All cash collection locations must be approved by the Chief Financial Officer
- Ensure all rates used for pricing are approved in advance by the appropriate Vice President responsible for the area
- Ensure that responsibility for cash items from time of receipt to time of deposit is clearly defined and documented
- Only the minimum number of employees should handle cash from receipt to deposit
- Ensure proper separation of duties exists
- Cash item handling, record keeping, and reconciliations should be assigned to different people
  - Pre numbered tickets should be used and reconciliation between beginning ticket and ending ticket for each event to cash collected. This must be auditable.
- Issue a receipt for every currency transaction (and for checks, if possible) with either a College-approved, pre-numbered receipt or a cash register-generated receipt.
- Ensure all transfers of cash items between persons--either within the office, between offices, or between the College and the bank--are documented (and signed by both persons, if possible)
- Do not mail currency or coin to the College Cashiers Office. If locked bags are needed for, contact the College Cashiers Office
- Do not make disbursements from undeposited receipts. Keep undeposited receipts intact.

- Ensure the safeguarding of cash items. Cash storage guidelines are as follows:

<b>Amount Stored</b>	<b>Preferred</b>	<b>Acceptable</b>	<b>Unacceptable</b>
<b>Less than \$100</b>	Locked desk or locked file cabinet	Locked box	Not Secured
<b>More than \$100</b>	Deposited with Cashier's office	Deposited with Cashier's office	Locked desk, locked file cabinet, locked box, or not secured

- Access to undeposited cash items should be restricted to the minimum number of persons.
- Deposit College funds only into appropriate College accounts, not into accounts such as: Personal bank accounts, College checking accounts not authorized by the Associate Comptroller, or Petty cash accounts.
- Keep College and personal funds separate.
- Deliver deposits directly to the Cashiers Office. Intermediate stops, overnight layovers, and taking deposits home for next morning deposit are not allowed. Ensure employees are escorted when making large deposits (\$500 or more).
- Collect and report sales tax as appropriate.
- Each individual department must document the entire departmental procedure for handling cash items for clarity and for training purposes. This document must be forwarded to the Finance Department for review.

Please adhere to the following policies and procedures in the administration of the petty cash fund. This policy will detail the authorized use of petty cash funds and restrictions on purchases.

1. Petty cash funds must be held in a locked cash drawer or a locking cash box. The primary key to the locked storage should be held by the fund custodian. A secondary key to the box should be retained by the department head in the event of an absence of the primary custodian.
2. The total amount of the petty cash fund must always be equal to the amount of cash on hand plus any unreimbursed amounts.
3. Petty cash funds should always be kept away from any other financial transactions in the department. To discourage theft, avoid dispensing money from the cash box in the presence of persons requesting money. Petty cash funds should be counted on a daily basis if transactions to such have occurred.
4. Locked box should be kept in a locked drawer, safe or filing cabinet. Funds must always be secured when the custodian leaves the office. Keys to the locked box should be kept in the possession of the custodian at all times and not left unattended in desks or drawers overnight. The fund custodian and the department head can be held jointly liable for uninsured losses that occur as a result of failure to follow these procedures.

5. In the event of a theft of the petty cash funds, the custodian should immediately notify the Campus Police Department first, followed by the Chief Financial Officer and Internal Audit at the College of William and Mary.
6. In the event of a departure of the fund custodian or department head assigned to a petty cash fund, the keys to the secure cash box must be returned to the appropriate departmental authority. The appropriate person should conduct a final count of the petty cash funds and the maintenance form should be completed and signed before a new custodian assumes control of the funds. This same process should be used in the event of an extended absence by either the fund custodian or department head and again when the custodian returns to duty.

An employee who makes authorized purchases on behalf of the College may be reimbursed for the purchase from the petty cash funds. Please adhere to the following policies and procedures on the authorized use of your petty cash funds:

1. Typical allowable transaction types include office supplies, lab supplies, local parking reimbursements, mailing services, copy services and photo services.
2. Without prior approval from the Chief Financial Officer no single transaction is to exceed \$100.
3. The following types of transactions are not generally allowable:
  - a. Payment of sales or excise taxes on any purchases made in Virginia as the College is a tax-exempt organization.
  - b. Cashing of any personal checks and or personal loans.
  - c. Purchases required to be reported in specific manner such as personnel services, travel expenses, payroll advances and business meals. These types of expenditures need to be reimbursed through the Accounts Payable Office.
  - d. Meals or entertainment greater than \$5.
  - e. Advertising.
  - f. Alcoholic beverages or tobacco of any kind or any type of controlled substance.
  - g. Chemicals or other types of hazardous materials.
  - h. Donations, flowers, letterhead, business cards, or envelopes
  - i. Professional services.
  - j. Telephones or cell phones.
  - k. Weapons and ammunitions
4. Once the purchase has been made the employee should submit the original receipt for the purchase to the fund custodian. This receipt should include **the vendor's name, the date of the purchase, the items purchased, the price per item and the total price.**
5. The fund custodian should submit to the Accounts Payable Department a vendor payment request to replenish the fund. This process should be handled in a timely manner and should allow ample time for processing so that funds are not depleted before the reimbursement arrives. When processing the check request, ORIGINAL receipts must be attached to the Vendor Payment Request Form. Once processed the Accounts Payable Department will return a check to the department for the amount of the request.

In the event that the department head determines that the petty cash fund is no longer desired, notification should be **made to the Cashier's Office**. Final reimbursement requests should be processed and received from Accounts Payable. Once the checks have been received, the check along with any remaining cash on hand should be brought to the Cashier's Office and receipted by the Cashier into the Banner fund. In the event of a shortage, the appropriate departmental fund must be charged to bring the balance to the full amount needed to close the fund.

Should you have any questions about these procedures, please contact the Chief Financial Officer.

**Overview:** The \$4,000 Petty Cash fund is used primarily to cash small checks for students, faculty and staff, and to reimburse staff/faculty for small business related expenses that are supported with a receipt. The Cashiers maintains a Petty Cash Box of \$3,800; and a Relief Box of \$200 for a total of \$4,000. Petty Cash Requests for reimbursement of expenses are received from staff, and faculty in various amounts, but requests cannot exceed \$100. Students may cash personal checks up to \$30, and faculty may cash checks up to \$75. The Petty Cash Fund is also used to purchase stamps for RBC and to make change for tuition payments.

### **Internal Controls**

- Employees are not permitted to cash their own petty cash requests or personal checks.
- Limits are imposed on the amount of petty cash disbursements.
- **All checks must be made out to "CASH."**
- All Petty Cash checks are taken to the Bank of Southside Virginia (BSV) to be cashed and these funds are replenished to the petty cash box in the Business Office.
- All Petty Cash Reimbursement requests must be supported by a Petty Cash Reimbursement Form and original receipt.
- Each cash box is counted once a month by supervisor, Financial Services Specialist.

### **Check Cashing**

- Checks can be cashed for Richard Bland College Employees for up to \$75, and up to \$30 for students of the College.
- All Petty Cash checks are taken to the Bank of Southside Virginia (BSV) to be cashed and these funds are replenished to the petty cash box in the Business Office.
- Checks must be made out to cash (NOT to Richard Bland College).

### **Petty Cash Fund Reimbursement**

- Faculty/Staff may have approved college-related expenses that are reimbursable through the Petty Cash Fund.
- Faculty/Staff makes request for reimbursement through the Business Office.
- Reimbursement for approved College-related expenses are allowed up to \$100 per day for each faculty/staff, for Commonwealth, Local and Foundation funds, if supported with an original detailed receipt.

- Head cashier turns in Petty Cash Reimbursement Forms with the appropriate information, and attaches the receipt. The staff/faculty is reimbursed. The form and receipt is given to the Fiscal Technician to replenish the Head Cashier drawer.
- Once a month or as needed, the Fiscal Technician keys each Petty Cash Reimbursement Request Form into an Excel spreadsheet according to type (Commonwealth, Local and Foundation). A copy is filed in the petty cash voucher file and a labeled calculator tape of all vouchers is kept in box. **NOTE:** This is to ensure that the total of receipts and cash on hand equals the total balance that should be maintained in the Petty Cash box.
- Foundation Petty Cash Reimbursement Forms and original receipts are given to Accounts Payable to be charged to the appropriate fund and reimbursed via a check.
- Local Fund Petty Cash Reimbursement Forms and original receipts are given to Accounts Payable to be charged to the appropriate fund and reimbursed via a check.
- Commonwealth Petty Cash Reimbursement Forms and original receipts are given to Accounts Payable. A voucher is prepared to charge the appropriate fund in CARS & Banner. An Accounts Payable Petty Cash voucher is prepared and made payable to Richard Bland College. Copies are distributed as indicated below:
  - Copy to the Fiscal Technician – Business Office
  - Copy retained in Accounts Payable Petty Cash Voucher folder for keying into Banner.
- A replenishment check is generated from the Treasurer of Virginia CASH Account and mailed to Richard Bland College. When the check comes in the calculator tape from the Petty Cash box is replaced with the replenishment check. The check stub is attached to the Petty Cash Reimbursement Forms copy in the petty cash voucher folder.
- All Petty Cash Reimbursement checks are taken to the Bank of Southside Virginia (BSV) to be cashed and these funds are replenished to the petty cash box in the Business Office.
- Relief petty cash box: Usually this box is used for Dual Enrollment classes to receive tuition payments and Admissions uses it for class picture payments. Designated staff must sign for the box when used. Money in the box is counted when issued, and counted and verified when the box is returned.

## **Policy H.3.**

### **Policy Name: Delegations of Purchasing Authority**

### **Responsibility for Maintenance: Chief Financial Officer**

#### **I. Policy Statement**

This policy is structured to support the mission of Richard Bland College and to comply with the principals of the Virginia Public Procurement Act and are in compliance with the individually adopted, "Rules Governing Procurement of Goods, Services, Insurance, and Construction by a Public Institution of Higher Education of the Commonwealth of Virginia.

#### **II. Reason for Policy**

This policy is to ensure the existence and maintenance of sound financial management procedures with regard to purchasing.

#### **III. Applicability of the Policy**

All employees must abide by this policy.

#### **IV. Related Documents**

<https://eva.virginia.gov>

[https://leg1.state.va.us/cgi-](https://leg1.state.va.us/cgi-bin/legp504.exe?000+cod+TOC020200000430000000000000)

[bin/legp504.exe?000+cod+TOC02020000043000000000000000](bin/legp504.exe?000+cod+TOC020200000430000000000000)

<http://www.rbc.edu/administrative-offices/office-of-finance-and-administration/>

Virginia CAAP Topic 20360

#### **V. Contacts**

<b>Policy Name</b>	<b>Office</b>	<b>Title</b>	<b>Telephone Number</b>	<b>Email</b>
<b>Goods and Services Procurement</b>	Business Office	Chief Financial Officer	(804) 862-8560	phoward@rbc.edu

#### **VI. Definitions**

**Procurement:** The acquisition of goods, services or works from an external source.

**eVA:** Virginia's online, electronic procurement system. This web-based vendor registration and purchasing system allows state agencies, colleges, universities and many local governments to use eVA to conduct all purchasing and sourcing activities for goods and services.

#### **VII. Procedures**

Richard Bland College procurement and surplus property policies are governed by the Virginia Public Procurement Act and policies and procedures established by the Department of General Services, Division of Purchases and Supply, as stated in the Agency Procurement and Surplus Property Manual. The Procurement Manager is responsible for the procurement functions and reports to the Chief Financial Officer.

Goods are procured through EVA - <https://eva.virginia.gov/>. Approval structures are maintained in eVA by Procurement Manager.

Procurement forms, including purchase requisition, are maintained at <http://www.rbc.edu/administrative-offices/office-of-finance-and-administration/finance-forms/>.

The Chief Financial Officer reviews and approves any requisitions greater than \$50,000.

### **Purchasing and Surplus Property Authority**

Richard Bland College has been delegated purchasing authority up to \$50,000 for goods and printing services, and unlimited purchasing authority for services. All agency purchase orders and standard agency contracts shall be approved by the designated procurement manager, the Agency Head, or an authorized designee. Capital outlay projects and professional services are procured using the procurement policies set forth in the Construction and Professional Services Manual. These processes are managed by the Director of Property Management. The Director of Property Management reports to the President. All capital outlay or professional services contracts will be approved by either the President or the Chief Financial Officer.

The Director of Property Management is responsible for maintenance, security, storage, and distribution of surplus property.

### **Designated Procurement Personnel**

**Athletics Coaches** are authorized to make travel-related lodging and food purchases using the Richard Bland College appointed Procurement Card in accordance with procurement guidelines set forth in the APSPM with the approval from the appropriate budget manager. These charges are approved only for **Athletics' teams travel. SPCC limit is on file in the SPCC Program Administrator's Office.**

**Athletics Director** is authorized to make travel charges in accordance with procurement guidelines for business travel with approval from the appropriate budget manager. Charge(s) will be processed using a Richard Bland college appointed Employee Paid (Individual Liability) Travel Card.

**Assistant to the Dean, Program Development and Strategic Initiatives**, are each authorized to make purchases with the approval from the appropriate budget manager. Payment(s) will be processed using a Richard Bland College appointed Procurement Card, or requested through Accounts Payable by the use of a purchase order. Purchase orders generated for non-cash and carry transactions will be processed via eVA, or Banner. If the procurement is exempt from eVA, the requisition will be given to the Procurement Manager for processing. SPCC limit is on file in the SPCC Program Administrator's Office.

**Assistant to the Director of Property Management** is authorized to make travel charges in accordance with procurement guidelines for business travel with approval from the appropriate budget manager. Charge(s) will be processed using a Richard Bland college appointed Employee Paid (Individual Liability) Travel Card.

**Enrollment Services Counselor** is authorized to make travel charges in accordance with procurement guidelines for business travel with approval from the appropriate budget manager. Charge(s) will be processed using a Richard Bland College appointed Employee Paid (Individual Liability) Travel Card.

**Executive Assistant to the Chief Information Officer** is authorized to make purchases with the approval from the appropriate budget manager. Payment(s) will be processed using a Richard Bland College appointed Procurement Card, or requested through Accounts Payable by the use of a purchase order. Purchase orders generated for non-cash and carry transactions will be processed via eVA, Banner, or LPO, if exempt from eVA. SPCC limit is on file in the SPCC Program Administrator's Office.

**Grounds Supervisor** is authorized to make cash and carry purchases using the Richard Bland College appointed Procurement Card in accordance with procurement guidelines set forth in the APSPM with the approval from the appropriate budget manager. SPCC limit is on file in the SPCC Program Administrator's Office.

**Maintenance Supervisor** is authorized to make cash and carry purchases using the Richard Bland College appointed Procurement Card in accordance with procurement guidelines set forth in the APSPM with the approval from the appropriate budget manager. SPCC limit is on file in the SPCC Program Administrator's Office.

**Maintenance Technician (Electrician)** is authorized to make cash and carry purchases using the Richard Bland College appointed Procurement Card in accordance with procurement guidelines set forth in the APSPM with the approval from the appropriate budget manager. SPCC limit is on file in the SPCC Program Administrator's Office.

**Maintenance Technician (General)** is authorized to make cash and carry purchases using the Richard Bland College appointed Procurement Card in accordance with procurement guidelines set forth in the APSPM with the approval from the appropriate budget manager. SPCC limit is on file in the SPCC Program Administrator's Office.

**Procurement Manager** is authorized to make purchases with the approval from the appropriate budget manager. Payment(s) will be processed using a Richard Bland College appointed Procurement Card, or requested through Accounts Payable by the use of a purchase order. Purchase orders generated for non-cash and carry transactions will be processed via eVA, Banner, or MPO, if exempt from eVA. SPCC limit is on file in the SPCC Program Administrator's Office.

## **Policy H.4.**

### **Policy Name: Signature Authority for Bank Accounts**

### **Responsibility for Maintenance: Chief Financial Officer**

#### **I. Policy Statement**

All Signature authorities for bank accounts shall be managed in accordance with this policy.

#### **II. Reason for Policy**

This policy is intended to ensure that adequate review and controls are in place around the disbursement cycle.

#### **III. Applicability of the Policy**

All Accounting and Finance employees must adhere to this policy.

#### **IV. Related Documents**

<http://www.rbc.edu/administrative-offices/office-of-finance-and-administration/finance-forms/>

[http://www.doa.virginia.gov/General DOA/DOA Forms Alpha.cfm](http://www.doa.virginia.gov/General_DOA/DOA_Forms_Alpha.cfm)

#### **V. Contacts**

<b>Policy Name</b>	<b>Office</b>	<b>Title</b>	<b>Telephone Number</b>	<b>Email</b>
<b>Signature Authority for Bank Accounts</b>	Finance	Chief Financial Officer	(804)862-8560	phoward@rbc.edu

#### **VI. Definitions**

##### Internal Controls Framework

Control Environment-sets the tone for the organization, influencing the control consciousness of its people. It is the foundation for all other components of internal control.

Risk Assessment-the identification and analysis of relevant risks to the achievement of objectives, forming a basis for how the risks should be managed.

Information and Communication-systems or processes that support the identification, capture, and exchange of information in a form and time frame that enable people to carry out their responsibilities.

Control Activities-the policies and procedures that help ensure management directives are carried out.

Monitoring-processes used to assess the quality of internal control performance over time.

## **VII. Procedures**

Authorized signatory listings for CARS and CIPPS Transaction Certification are maintained through DOA Form DA-04-121. Commonwealth and Auxiliaries checks are distributed at the VA Treasury.

Local checks, and backup, are all reviewed and approved by the Chief Financial Officer.

Signature authority for all Bank of Southside accounts is maintained through letter signature template. They are updated at the time of any changes.

As an additional level of control, foundation checks, and backup, all require dual review and approval. These checks are signed by the Chief Financial Officer and the President.

## **Policy H.5.**

### **Policy Name: Financial Aid Policies and Procedures**

### **Responsibility for Maintenance: Dean of Enrollment**

#### **I. Policy Statement**

The purpose of this policy is to ensure full federal and state compliance regarding the delivery of financial aid at Richard Bland College.

#### **II. Reason for Policy**

This policy is intended to ensure that the College's financial aid decisions are based upon sufficient information and are rendered in a manner consistent with applicable law.

#### **III. Applicability of the Policy**

All College personnel who have a role in the financial aid process, and all prospective applications for financial aid, should be familiar with this policy.

#### **IV. Related Documents**

Richard Bland College Financial Aid Office Policies and Procedures Manual

Department of Education's website (IFAP)

Federal Registers

#### **V. Contacts**

<b>Policy Name</b>	<b>Office</b>	<b>Title</b>	<b>Telephone Number</b>	<b>Email</b>
<b>Financial Aid Policies and Procedures</b>	Enrollment	Dean of Enrollment	(804) 862-6261	jhart@rbc.edu

#### **VI. Definitions**

FAFSA (Federal Application for Federal Student Aid)

SAR (Student Aid Report)

EFC (Expected Family Contribution)

#### **VII. Procedures**

Please refer to the Richard Bland College Financial Aid Policies and Procedures Manual.

## **Policy H.6.**

**Policy Name: Purchases of Goods, Services, and Supplies**

**Responsibility for Maintenance: Chief Financial Officer**

### **I. Policy Statement**

All requests for goods, services, and/or supplies must comply with the Virginia Public Procurement Act (Virginia Code §§ 2.2-4300 et seq., found at

<http://law.lis.virginia.gov/vacode/title2.2/chapter43/>

as well as applicable requirements from the Virginia Department of General Services.

### **II. Reason for Policy**

To the end that public bodies in the Commonwealth obtain high quality goods and services at reasonable cost, that all procurement procedures be conducted in a fair and impartial manner with avoidance of any impropriety or appearance of impropriety, that all qualified vendors have access to public business and that no offer or be arbitrarily or capriciously excluded, it is the intent of the General Assembly that competition be sought to the maximum feasible degree, that procurement procedures involve openness and administrative efficiency, that individual public bodies enjoy broad flexibility in fashioning details of such competition, that the rules governing contract awards be made clear in advance of the competition, that specifications reflect the procurement needs of the purchasing body rather than being drawn to favor a particular vendor, and that the purchaser and vendor freely exchange information concerning what is sought to be procured and what is offered. Public bodies may consider best value concepts when procuring goods and nonprofessional services, but not construction or professional services. The criteria, factors, and basis for consideration of best value and the process for the consideration of best value shall be as stated in the procurement solicitation.

Virginia Code § 2.2-4300.C.

### **III. Applicability of the Policy**

This policy applies to all employees of the College who purchase goods, services, and supplies for work-related purposes and/or with College funds.

### **IV. Related Documents**

Virginia Public Procurement Act, Virginia Code §§ 2.2-4300 et seq.

<http://law.lis.virginia.gov/vacode/title2.2/chapter43/>

Department of General Services, Division of Purchase and Supply

<http://dgs.virginia.gov/DivisionofPurchasesandSupply/tabid/418/Default.aspx>

**V. Contacts**

Policy Name	Office	Title	Telephone Number	Email
<b>Purchase of Goods, Services, and Supplies</b>	Finance	Chief Financial Officer	(804) 862-8560	phoward@rbc.edu

**VI. Definitions**

“Goods” means all material, equipment, supplies, printing, and automated data processing hardware and software.

“Services” means any work performed by an independent contractor wherein the service rendered does not consist primarily of acquisition of equipment or materials, or the rental of equipment, materials, and supplies.

**VII. Procedures**

1. Requests for the purchase of supplies and equipment from outside vendors are submitted to the Business Office on a Requisition for Purchases form.
2. The appropriate supervisor must approve all requests.
3. Purchase authorization must be obtained for all purchases above \$50, or they **become the employee’s personal responsibility.**
4. Provide complete information as required by the form.
5. Items over \$300 or involving travel require approval also by the Dean of Faculty. During times of particular financial stress, all expenditures must be approved by the appropriate budget supervisor (President, Dean of Faculty, Chief Financial Officer)
6. See the Business Office for additional information and purchasing policies.

**RICHARD BLAND COLLEGE  
MODIFICATION TO THE FACULTY HANDBOOK  
WITH REGARD TO SPECIFIED TERM APPOINTMENTS**

At the December 9, 2011, meeting, the Board of Visitors approved **Resolution 3, Changes to the College's Faculty Handbook** for Richard Bland College.

The Faculty Handbook establishes three categories of full-time faculty appointments, including "specified term appointments."

Specified-term appointments are a flexible means of providing appropriate faculty staffing to satisfy curricular and other institutional needs, but additional specifications for such appointments are useful.

**THEREFORE, BE IT RESOLVED**, That on recommendation of the President, the Board of Visitors of The College of William and Mary in Virginia approves the amendment of the Faculty Handbook by replacing Section VIII.E with the language on the following pages.

**SECTION VIII.****E. FACULTY APPOINTMENTS**

Full-time faculty appointments at the College are held under one of the following categories:

1. Tenured appointments – Richard Bland College accepts the principles of tenure. A tenured appointment may be terminated by the College only for adequate cause. A detailed description of the rights, obligations, and policies associated with a tenured appointment may be found in the Academic Tenure Policy.
2. Tenure-eligible appointments – Faculty having tenure on the effective date of this policy shall, unless they elect otherwise, remain subject to the Academic Tenure Policy. Faculty who hold tenure-eligible appointments may be considered for tenure under the provisions specified in the Academic Tenure Policy.
3. Non-tenure track (specified-term) appointments – A specified-term appointment terminates on the date specified in the appointment letter and may be granted for periods up to five years.
  - a. Initial Appointment – The first year of employment for specified-term teaching faculty.
  - b. Reappointment – After the initial appointment, the faculty member shall be evaluated and may be recommended for reappointment of one (1), three (3), or five (5) years in accordance with the procedure established for evaluation in VIII.F.
    - i. One-year Appointment -- A one-year appointment shall be for one (1) year and may be renewed annually.
    - ii. Multi-year Appointments -- Multi-year appointments shall be for three (3) or five (5) years in duration. Only specified-term teaching faculty who are employed in unrestricted full-time appointments and have been recommended for reappointment are eligible for three- and five-year appointments. Neither a three-year appointment nor a five-year appointment shall be affected by change in faculty rank.
  - c. Sequence of Appointment – No faculty member appointed under this section shall be eligible for a three-year appointment until the completion of three consecutive one-year appointments, including the initial appointment. No faculty member appointed under this section shall be eligible for a five-year appointment until the completion of a three-year appointment. Appointment and reappointment decisions

shall be made subject to all other provisions of this policy and within the discretion of the President. Nothing in this policy is intended to limit the number of one-year and three-year appointments that may be granted, nor shall this policy prohibit the granting of a shorter appointment to a faculty member who previously held a longer term appointment.

- d. Nonrenewal of Appointment - Specified-term teaching faculty have no expectation of employment beyond the end date of the current appointment unless a reappointment is issued. Each appointment is for the specified duration contained in its terms, which ceases on the end date therein, unless reappointment is offered.
- e. Notice of Nonrenewal – For one-year appointments, notice of nonrenewal of the appointment contract shall be given by March 1 of the first contract year, by December 15 of the second contract year, and twelve months before the expiration of the third contract year. For three- and five-year appointments, notice of nonrenewal of the appointment contract shall be given at least twelve months before the expiration of the final contract year. Upon its inability or failure to give notice by the required date, the College may meet this requirement by providing advance notice time commensurate with the above time duration.

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**COLLEGE OF WILLIAM AND MARY  
RECEIPT OF THE CONSOLIDATED FINANCIAL REPORT OF  
THE COLLEGE OF WILLIAM AND MARY IN VIRGINIA AND  
RICHARD BLAND COLLEGE FOR THE FISCAL YEAR ENDED JUNE 30, 2015**

The Consolidated Financial Report of The College of William and Mary in Virginia and Richard Bland College for the fiscal year ended June 30, 2015, has been presented by the Senior Vice President for Finance and Administration and the Chief Financial Officer to the Presidents of the Colleges, who have approved it for presentation to the Rector and the Board of Visitors.

The statements included in this consolidated Financial Report provide a concise analysis of the College's financial affairs for fiscal year 2014-2015. The report is subject to a detailed audit to be conducted by the Auditor of Public Accounts.

**RESOLVED**, That the Unaudited Consolidated Financial Report for the Year Ended June 30, 2015 (*see separate booklet*) for The College of William and Mary in Virginia and Richard Bland College is hereby received by the Board of Visitors.

**RICHARD BLAND COLLEGE  
FACULTY REPRESENTATIVE REPORT**

The Faculty Assembly has met twice thus far this semester. In the meetings, the faculty routinely hears reports and updates from the President, the Dean of Faculty, the four Area Coordinators, and Faculty Chairs of committees. The next Faculty Assembly meeting will take place on Tuesday, November 24, 2015.

The Faculty Affairs Committee has met several times this semester to review and discuss the Faculty Handbook. The Committee hopes to finish the review and finalize its recommendations in its meeting on Tuesday, November 17, 2015. The faculty appreciates the administration's decision to delay the Board's review of the final draft of the Faculty Handbook until the faculty recommendations for the document have been offered in the spirit of shared governance.

The faculty is receiving tremendous support in terms of the availability of instructional resources. The administration and staff have worked diligently to provide training on advising and our new learning management system Canvas. With this type of commitment to academic excellence by constantly improving, the faculty are actively contributing to retention and student success. It truly is a team effort.

In addition to the aforementioned tools, the College is coordinating with our Follett Bookstore in order to launch includeED, which will roll the cost of textbooks into financial aid packets so that the students will have their textbooks on the first day of class. In addition to providing a convenient service for our students, this partnership will allow the faculty to hit the ground running on the first day of class and make the best use of our valuable instructional time.

Under the guidance of Dean Lindquist, the Academic Area Coordinators report that all student learning outcomes for all courses have been established, which puts the College in a better position for quality assurance purposes—a primary goal of RBC-19—and for the next SACS decennial review. Along that same line, the College has been selected and funded by the U.S. Department of Education as a Competency-Based Education experimental site.

Professor Mike Lehman, in concert with the Economics Club, hosted a presentation entitled Creating a Sustainable Electric Energy Future which featured Brett Crable, Director of New Technologies & Energy Conservation at Dominion Virginia Power. The presentation included information regarding the costs of producing a kilowatt hour of electricity with different forms of power generation, solar integration, the next "Game Changers", and smart grid development. Professor Lehman will also host the Sixth Annual Alumni Forum on Wednesday, November 18, 2015, which will include a panel

composed of recent RBC graduates who will speak to current students about their experiences transferring to a four-year institution. Professor Lehman holds the event each year with the goal of affording current students the opportunity to form connections with students at their intended transfer institutions.

Dr. Barbara Morgan, Professor of Psychology, is now a member of the Board of Directors for the Equine Assisted Growth and Learning Association (EAGALA), which is the worldwide organization that promotes equine-assisted therapy and learning and which provides the model upon which our program is based. She will be taking a group of students to the EAGALA conference in March to present the RBC program and to present her research on equine-assisted stress management. Dr. Morgan has also been using equine-assisted activities to provide team building opportunities for staff and students. Those activities include:

- Completing a team-building activity for the learner mentors
- Hosting a group of adolescents in the community who are exploring careers in the health sciences
- Hosting a group of AP Psychology high school students from Hermitage High School
- Conducting three equine-assisted sessions for the honors students, softball players, track athletes, and golf athletes

The College will be hosting two public EAGALA trainings, one in April, which our students will be attending, and one in July at the Equine Center.

Aimee Joyaux, Associate Dean of Instructional & Learning Resources and Instructor of Art, will be teaching a printmaking workshop at the Penland School of Craft in April. Penland is the oldest craft school in the country and is located northeast of Asheville, NC. <http://www.penland.org/print/index.html>. Aimee is also represented as an artist by Quirk Gallery located at 207 West Broad Street in downtown Richmond, Virginia. <http://shop.quirkgallery.com/>

Margaret Hancock, Adjunct Instructor of Art, is using instructional technology in her online class to bring the world's finest art collections to RBC students. The students have virtually traveled to the Metropolitan Museum of Art, the National Gallery of Art, and the Louvre.

Jena Morrison, new full-time faculty member teaching Sociology, is organizing a campus-wide community event entitled Balance & Breathe Bash (a Wellness event), which will take place on Tuesday, December 1, 2015, from 11:00 a.m. until 3:00 p.m. This fun event will kick off with a flash mob during the change in classes around 10:45 a.m. on the quad. Activities will focus on handling stress using therapeutic, cognitive and fun events. Included in the day's activities are the following:

- Wellness Awareness table – Information on the stress response, handling anxiety, and using your social network from biological, psychological, and sociological perspectives
- Yoga and meditation classes offered by Project Yoga Richmond
- A dream board where students can respond to prompts for "I can", "I wish", "I dream" to build intrinsic motivation
- A wall of inspiration where students can stop by and pick up sticky notes with motivational quotes to keep them going during exams
- Therapeutic events including Zen brush painting, mandala coloring, and dog therapy
- Fun activities including a bouncy house, 4 sets of giant Jenga, cornhole, sidewalk chalk drawing and refreshments

President Sydow co-authored a new book entitled *Developing Tomorrow's Leaders: Context, Challenges, and Capabilities* (Rowman & Littlefield). One of her co-authors is the College of William and Mary's Pamela Eddy, Professor of Higher Education in the Department of Educational Policy, Planning and Leadership. President Sydow is co-editor of the Futures Series on Community Colleges, which is sponsored by the Association of Community College Trustees.

Jill Mitten  
Associate Professor of English, Speech, and Theatre

**RICHARD BLAND COLLEGE  
STUDENT REPRESENTATIVE REPORT**

With the fall semester in full swing and quickly coming to an end, there are many exciting activities going on at Richard Bland College campus. Whether it be academics, clubs, sports, or other extracurricular activities, there is something for everyone to get involved with to expand their resume and build a bond within the community.

Students have quickly adapted to the positive and academically enriching atmosphere here at Richard Bland College. They have become members of clubs, met with their learner mentors to register for next semester's classes, become involved in the community, realized success on the field and court, and even become active in the world of politics. With Thanksgiving and Christmas right around the corner, the Honor's Society and PTK have teamed up with local churches to assist in a food drive and toy drive within the community. Other clubs, such as Fellowship of Christian Athletes, have weekly huddle meetings in the dorms led by RBC student Karmin Mitchell. The group does not focus primarily on athletics, but ways in which the entire student body can openly express their faith and get involved in the community.

The annual scholarship dinner was held in the Barn Theatre to honor those who received scholarships and those who donated funds in support of our academic success. Donors were thanked for their generosity, and dinner was served by the RBC Café. In other news, midterms have officially ended, and there are only two weeks left before final exams. Consequently, tutoring in the library and dorms is on the rise. Students use Canvas to sign up for tutoring sessions, and they get to work one-on-one with a tutor to help study for those final exams. With final exams approaching, that also means that the semester is ending quickly, and we students must register for spring classes. This can be done by meeting with their learner mentor and signing up for the classes required for graduation. As we mentioned in the previous meeting, our goal is to achieve 100% student success, and we have new tools and people helping to reach that goal.

On the athletic side of things, there are many things to boast about. The RBC soccer team ended their season with their finest record in school history, finishing 10-8-2, advancing all the way to the Region X semifinals. The softball team also made school history by defeating Virginia Tech, the first-ever team to defeat a division 1 program. Members of the newly launched RBC golf team competed in a tournament in South Carolina. While these teams are making history, other teams such as Basketball and Track have just begun their season. Basketball began their season opener with a win against Frederick Community College. Currently the Statesmen are 3-1, continuing with

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their successful efforts from previous years. Finally, members of the track team will compete November 21<sup>st</sup> in North Carolina as their season opener. The athletes were also given the privilege of seeing *Woodlawn*, a true story about a high school football team. This opportunity was donated by the James River District of the United Methodist Church, and it provided a chance for athletes to bond with each other.

Lastly, who could forget one of the proudest moments here at RBC? Reeve Ashcraft, one of RBC's finest, became the youngest—or, as he would say, the most passionate—member of the Prince George County School Board. At the age of 18, Reeve hopes to follow in the path set forth by his father and make “a positive change for the school system.” The student body at RBC congratulates Reeve and wishes him nothing but the best as he embarks on his new journey as a member of the school board.

Coming up, there will be a ribbon cutting ceremony for the Social Sciences, Humanities and English building, tours of the college campus, and an honors retreat at the Equine Center. Thank you to all of those involved in making the fall 2015 semester here at RBC successful and exciting. The student body greatly appreciates all the progress that has been made in order to ensure their future success and, as detailed earlier, it has truly paid off. We cannot thank you enough for your help in shaping our paths for the future.

Amanda Archer  
Student Representative to the Board of Visitors

EXECUTIVE COMMITTEE  
November 18, 2015  
4:15 – 6:30 p.m.  
Rector's Office - Blow Memorial Hall

Todd A. Stottlemyer, Chair  
H. Thomas Watkins III, Vice Chair  
Sue H. Gerdelman, Secretary

- I.     Introductory Remarks - Mr. Stottlemyer
- II.    Approval of Minutes – September 16, 2015
- III.   Closed Session (if necessary)
- IV.    Adjourn

EXECUTIVE COMMITTEE  
MINUTES – SEPTEMBER 16, 2015

**MINUTES**  
**Executive Committee**  
**September 16, 2015**  
**Rector's Office – Blow Memorial Hall**

Attendees: Todd A. Stottlemeyer, Chair; H. Thomas Watkins III, Vice Chair; Kendrick F. Ashton, Jr.; Ann Green Baise; Thomas R. Frantz; Sue H. Gerdelman; Robert E. Scott. Others in attendance: President W. Taylor Reveley III, Michael J. Fox and Deborah A. Love.

Chair Todd A. Stottlemeyer called the meeting to order at 5:15 p.m.

Recognizing that a quorum was present, Mr. Stottlemeyer asked for a motion to approve the minutes of the meeting of April 22, 2015. Motion was made by Mr. Ashton, seconded by Mr. Frantz and approved by voice vote of the Committee.

After brief welcoming remarks and review of the Board schedule, Mr. Stottlemeyer moved that the Executive Committee convene in Closed Session for the purpose of discussing personnel matters regarding the performance and evaluations of specific executive employees and the evaluation of the performance of departments or schools; briefings by legal counsel or staff members pertaining to specific legal matters; and discussing specific recommendations related to future fundraising strategies, as provided for in Section 2.2-3711.A.1., 7., and 8., of the Code of Virginia. Motion was seconded by Mr. Watkins and approved by voice vote of the Committee. The observers were asked to leave the room and the Committee went into closed session at 5:20 p.m.

The Executive Committee reconvened in open session at 6:50 p.m. Mr. Stottlemeyer reviewed the topics discussed during closed session, then moved adoption of the Resolution certifying that the closed session was held in compliance with the Freedom of Information Act. Motion was seconded by Mr. Watkins and approved by roll call vote of the Committee members conducted by Secretary to the Board Michael Fox. (**Certification Resolution** is appended.)

There being no further business, the Committee adjourned at 6:50 p.m.

Executive Committee

September 16, 2015

**Resolution EC-1**

**CERTIFICATION OF CLOSED SESSION**

WHEREAS, the Board of Visitors Executive Committee has convened a closed session on this date pursuant to an affirmative recorded vote and in accordance with the provisions of The Virginia Freedom of Information Act; and

WHEREAS, §2.2-3712.D. of the Code of Virginia requires a certification by this Committee that such closed session was conducted in conformity with Virginia law;

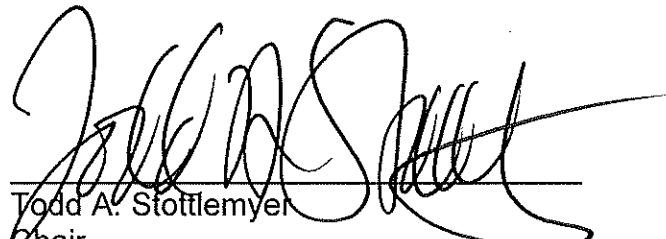
NOW, THEREFORE, BE IT RESOLVED, That the Executive Committee, reconvening in open session, hereby certifies that, to the best of each member's knowledge, (i) only public business matters lawfully exempted from open meeting requirements by Virginia law were discussed in the closed session to which this certification 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 Executive Committee.

**VOTE**

AYES: 7

NAYS: 0

**ABSENT DURING CLOSED SESSION:**



Todd A. Stottlemyer  
Chair  
Executive Committee

COMMITTEE ON AUDIT AND COMPLIANCE

November 19, 2015

8:00 – 9:30 a.m.

Board Conference Room - Blow Memorial Hall

John Charles Thomas, Chair  
Christopher M. Little, Vice Chair

- I. Introductory Remarks – Judge Thomas
- II. Approval of Minutes – September 17, 2015
- III. Report from Auditor of Public Accounts – Brad Hypes
- IV. Report from Director of Internal Audit – Kent B. Erdahl
  - A. Approval of the Office of Internal Audit 2016 Work Plan – **Resolution 3**.
- V. Report from Chief Compliance Officer – Kiersten L. Boyce
- VI. Closed Session (if necessary)
- VII. Discussion
- VIII. Adjourn

COMMITTEE ON AUDIT AND COMPLIANCE  
MINUTES – SEPTEMBER 17, 2015

**MINUTES**  
**Committee on Audit and Compliance**  
**September 17, 2015**  
**Board Conference Room—Blow Memorial Hall**

Attendees: John Charles Thomas, Chair; Christopher M. Little, Vice Chair; Ann Green Baise, John E. Littel, William H. Payne II, DeRonda M. Short and staff liaison Claire Leatherwood. Others present: Kiersten L. Boyce, Deborah Cheesbro, Kent B. Erdahl, Penelope G. Howard, Samuel E. Jones, Jennifer B. Latour, Deborah A. Love, Sarah E. Melchior, Pamela Mason, John M. Poma, Debbie Sydow, John T. Wells, Sandra J. Wilms, and other Richard Bland and William and Mary staff.

Chair John Charles Thomas called the meeting to order at 7:45a.m.

Recognizing that a quorum was present, Judge Thomas asked for a motion to approve the minutes of the meeting of April 23, 2015. Motion was made by Mr. Little, seconded by Ms. Baise and approved by voice vote of the Committee.

Judge Thomas asked Chief Compliance Officer Kiersten Boyce for her report. Ms. Boyce commented that the Task Force on Preventing Sexual Assault & Harassment completed its work, and released a report of its work and recommendations. The task force was led by Virginia Amber and Ms. Boyce commented on the excellent work completed by the task force. Ms. Boyce provided details on specific actions taken in connection with the task force's work, or in response to its recommendations. These actions include training activities that have taken place across campus, in compliance with new federal regulations. This training included significant additional training for Office staff, along with staff of the William and Mary Police Department. In addition, increased education and awareness efforts include a new sexual violence website and flyers posted strategically to communicate what to do and where to go when assaulted. Ms. Boyce described a change in the process for responding to reported violations. Judge Thomas inquired about how peer groups handle the process and a brief discussion ensued. Ms. Boyce commented on a recent law that became effective on July 1 regarding responsible employee's obligations to communicate. Judge Thomas inquired about how the employee knows to call the Title IX coordinator. A discussion ensued.

Ms. Boyce introduced Carla Costello, who has joined the office as the Compliance and Title IX Investigator.

Ms. Boyce advised that the title of her office has changed to Compliance and Equity to more accurately reflect that the office provides central support for the university's efforts to comply with its legal, regulatory and ethical obligations under the Compliance and Ethics Program, the Equity and Title IX Program and the Policy Program.

Judge Thomas asked the Director of Internal Audit Kent Erdahl for his report. Mr. Erdahl first discussed key points from recently issued audit reports. Mr. Erdahl stated that the Student Health Center pharmacy has made significant progress regarding inventory and insurance reimbursement tracking. Pharmacy system functionality has been utilized, which will allow for

Committee on Audit and Compliance  
MINUTES  
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enhanced inventory tracking. Ms. Short inquired about pharmacy oversight and a discussion ensued regarding corrective action. Mr. Erdahl commented on agency accounts and reported that accounting management will be evaluating the accounts and making necessary adjustments. Next, Mr. Erdahl commented on the VIMS Sponsored Programs audit as well as the Confucius Institute grant reporting audit.

Mr. Erdahl described the progress against the 2015 audit plan. He described the rationale for deferring two audits (ARMICS support and Affiliate compliance) as well as two additions (Facilities leave/time tracking and Tennis Center). The additions were due to management requests. Mr. Erdahl indicated that the audit work plan is modified to address certain management requests and emerging risks. He explained that the deployment of internal audit resources is routinely reassessed to best align with risk. A brief discussion ensued, and the Committee agreed with this approach.

The Auditor of Public Accounts audit findings will be added to the follow-up procedure program.

Mr. Erdahl discussed follow-up activity and noted the process is generally working as intended. He described that substantial remediation has been noted and process owners are responding well to follow-up procedures.

Judge Thomas moved that the Committee on Audit and Compliance convene in closed session for the purpose of discussing specific personnel matters, and to discuss internal investigations, which discussion will include discussion of personnel matters and to discuss internal investigations, which include discussion of personnel matters including performance or discipline of specific employees and disclosure of information contained in a scholastic record of one or more students, and for consultation with legal counsel regarding specific legal matters, as provided for in Section 2.2-3711.A.1.,2. and 7, of the Code of Virginia. Motion was seconded by Mr. Little and approved by voice vote of the Committee. Observers were asked to leave the room and the Committee went into closed session at 8:18 a.m.

The Committee reconvened in open session at 9:05 a.m. Judge Thomas reviewed the topics discussed in closed session and moved the adoption of the **Resolution** certifying that the closed session was held in accordance with the Freedom of Information Act. Motion was seconded by Mr. Little and approved by roll call vote conducted by Executive Assistant to the Board Sandra Wilms. (Certification **Resolution** is appended.)

There being no further business, the Committee adjourned at 9:05 a.m.

Committee on Audit and Compliance

**Resolution A&C-1**

September 17, 2015

**CERTIFICATION OF CLOSED SESSION**

WHEREAS, the Board of Visitors Committee on Audit and Compliance has convened a closed session on this date pursuant to an affirmative recorded vote and in accordance with the provisions of The Virginia Freedom of Information Act; and

WHEREAS, §2.2-3712.D. of the Code of Virginia requires a certification by this Committee that such closed session was conducted in conformity with Virginia law;

NOW, THEREFORE, BE IT RESOLVED, That the Committee on Audit and Compliance, reconvening in open session, 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 session to which this certification 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 Committee on Audit.

**VOTE**

AYES: 6

NAYS: 0

**ABSENT DURING CLOSED SESSION:**



John Charles Thomas  
Chair  
Committee on Audit and Compliance

Board of Visitors

Resolution 3

November 18-20, 2015

Page 1 of 1

**COLLEGE OF WILLIAM AND MARY and RICHARD BLAND COLLEGE  
APPROVAL OF 2016 INTERNAL AUDIT WORK PLAN**

As provided in the Office of Internal Audit Charter, the Director is responsible for preparing comprehensive work plans based upon his judgment and a risk assessment model.

The proposed 2016 Work Plan for the Office of Internal Audit includes the following audits:

- Critical incident response readiness evaluation
- Donor gift restriction compliance review
- Fixed Asset audit
- Facilities Department time and work order reporting review
- Dining services contract compliance and operating procedures audit
- Conference Services business processes audit
- Decentralized Accounts Payable policy compliance audit
- Accounts payable vendor file access control review
- Fleet vehicle internal control review
- Richard Bland College internal control review
- Richard Bland College Athletic Department review
- VIMS Analytical Service Center business process audit
- VIMS Gift Shop internal control review
- Additional requests from the Board of Visitors and management

**Recurring Audit Activities:**

- Quarterly small purchase charge card monitoring
- Commonwealth Fraud, Waste and Abuse Hotline Investigations

The 2016 Work Plan has been reviewed by the Committee on Audit and Compliance and management of the College of William and Mary and Richard Bland College, and is hereby recommended to the Board of Visitors.

**THEREFORE, BE IT RESOLVED**, That the 2016 Work Plan for the Office of Internal Audit is approved by the Board of Visitors.

COMMITTEE ON ACADEMIC AFFAIRS

November 19, 2015

8:45 – 9:30 a.m.

Board Room - Blow Memorial Hall

Robert E. Scott, Chair

Lynn M. Dillon, Vice Chair

- I. Introductory Remarks – Mr. Scott
- II. Approval of Minutes – September 18, 2015
- III. Report from Provost Michael R. Halleran
- IV. Report from Faculty Liaison Committee Chair Elizabeth L. Barnes
- V. Closed Session (if necessary)
- VI. Action Materials - Provost Michael R. Halleran
  - 1. Appointment to Fill a Vacancy in the Executive Faculty **Resolution 4**
  - 2. Appointment to Fill a Vacancy in the Instructional Faculty **Resolution 5**
  - 3. Appointments to Fill Vacancies in the Professionals and Professional Faculty **Resolution 6**
  - 4. Designated Professorships **Resolution 7**
  - 5. Faculty Leave of Absence **Resolution 8**
  - 6. Retirement of John M. Brubaker  
School of Marine Science **Resolution 9**
- VII. Discussion
- VIII. Adjourn

COMMITTEE ON ACADEMIC AFFAIRS  
MINUTES – SEPTEMBER 17, 2015

**MINUTES**  
**Committee on Academic Affairs**  
**September 17, 2015**  
**Board Room – Blow Memorial Hall**

Attendees: Robert E. Scott, Chair; Lynn M. Dillon, Vice Chair; Kendrick F. Ashton, Jr.; James A. Hixon; Lisa E. Roday; Karen Kennedy Schultz. Board members present: Sue H. Gerdelman, H. Thomas Watkins III. Others present: President W. Taylor Reveley III, Provost Michael R. Halleran; Virginia M. Ambler, Edward C. Driscoll, Jr.; Michael J. Fox, W. Fanchon Glover, Susan S. Grover, Matthew T. Lambert, Jeremy P. Martin, Brian W. Whitson, Dean Carrie Cooper, Dean Kate Conley; members of the Faculty Liaison Committee and other College staff.

Chair Robert Scott called the Committee to order at 8:05 a.m. Recognizing that a quorum was present, Mr. Scott moved to approve the minutes of the meeting of April 23, 2015. Motion was seconded by Ms. Dillon and approved by voice vote of the Committee.

In his introductory remarks, Provost Halleran stated that the year was off to a strong start, with a robustly talented group of 1,518 undergraduate students, the successful launch of the online MBA, and the start of the new COLL curriculum. William and Mary has also welcomed 30+ new full-time faculty, who collectively have strengthened the university's faculty.

The Provost introduced the Vice Provost for Academic and Faculty Affairs Susan Grover, who reported on the Southern Association of Colleges and Schools Commission on Colleges (SACCO) decennial reaccreditation process. Representatives from SACS will be on campus in March 2016. A brief discussion ensued.

The Provost then introduced Tim Wolfe, Associate Provost for Enrollment and Dean of Admission. Mr. Wolfe provided a brief report on admission/enrollment of the Class of 2019.

Faculty Liaison Committee Chair Professor Liz Barnes provided an update on Faculty Assembly activities, and advised that the Faculty Assembly voted last spring not to recommend a uniform retirement incentive program. Two topics on the Assembly agenda for this year are modifying Faculty Handbook procedures related to Title IX cases and continuing work related to recommendations coming out of the Task Force on Sexual Assault and Harassment. A brief discussion ensued.

Mr. Scott moved that the Committee on Academic Affairs convene in Executive Session for the purpose of discussing and/or approving personnel actions pertaining to the appointments, promotions and leaves of instructional and professional faculty, as provided for in Section 2.2-3711.A.1., of the Code of Virginia. Motion was seconded by Ms. Roday and approved by voice vote. The Committee went into executive session at 8:46 a.m.

The Committee reconvened in open session at 8:59 a.m. Mr. Scott reviewed the topics discussed during closed session, and then moved to adopt the **Resolution** certifying the closed session was held in compliance with the Freedom of Information Act. Motion was seconded by Ms. Dillon and approved by roll call vote of the Committee members conducted by Secretary to the Board

Committee on Academic Affairs  
MINUTES  
Page 2

Michael Fox. (Certification **Resolution** is appended.)

Mr. Scott moved to approve as a block **Resolution 4**, Appointments to Fill Vacancies in the Instructional Faculty; **Resolution 5**, Appointments to Fill Vacancies in the Professionals and Professional Faculty, **Resolution 6 (R)**, Designated Professorships, and **Resolution 7**, Faculty Leaves of Absence. Motion was seconded by Mr. Ashton and approved by voice vote of the Committee. (**Resolution 6(R)** is appended.)

Ms. Dillon suggested it might be a nice gesture for Board members to write and congratulate newly promoted faculty. All agreed; Ms. Dillon volunteered to coordinate the effort and to send letters from herself as well.

There being no further business, the Committee adjourned at 9:09 a.m.

Committee on Academic Affairs

**Resolution AA-1**

September 17, 2015

**CERTIFICATION OF CLOSED SESSION**

WHEREAS, the Board of Visitors Committee on Academic Affairs has convened a closed session on this date pursuant to an affirmative recorded vote and in accordance with the provisions of The Virginia Freedom of Information Act; and

WHEREAS, §2.2-3712.D. of the Code of Virginia requires a certification by this Committee that such closed session was conducted in conformity with Virginia law;

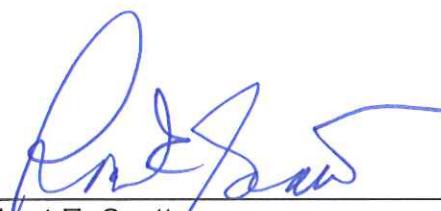
NOW, THEREFORE, BE IT RESOLVED, That the Committee on Academic Affairs, reconvening in open session, hereby certifies that, to the best of each member's knowledge, (i) only public business matters lawfully exempted from open meeting requirements by Virginia law were discussed in the closed session to which this certification 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 Committee on Academic Affairs.

**VOTE**

AYES: 6

NAYS: 0

**ABSENT DURING CLOSED SESSION:**



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Robert E. Scott  
Chair  
Committee on Academic Affairs

Board of Visitors

Resolution 6(R)

September 16-18, 2015

Page 1 of 1

COLLEGE OF WILLIAM AND MARY  
DESIGNATED PROFESSORSHIPS

The following members of the Instructional Faculty of the College of William and Mary have been recommended for a designated professorship.

BE IT RESOLVED, That upon recommendation of the President, the Board of Visitors of the College of William and Mary approves the designated professorships for the following members of the Faculty of the College, effective with the 2015-2016 academic year:

MATTHEW J. ALLAR, Class of 1955 Associate Professor of Theatre, Speech and Dance

PAULA C. BLANK, Sallie Gertrude Smoot Spears Professor of English

NANCY COMBS, Ernest W. Goodrich Professor of Law

NEAL E. DEVINS, Sandra Day O'Connor Professor of Law

H. KATHERINE GUTHRIE, Mansfield Associate Professor of Business

PAUL MANNA, Isabelle and Jerome E. Hyman Distinguished University Professor of Government

CHRISTINE L. NEMACHECK, Wilson and Martha Claiborne Stephens Associate Professor of Government

PATRICIA L. VAHLE, Mansfield Associate Professor of Physics

Board of Visitors

Resolution 4

November 18-20, 2015

Page 1 of 1

COLLEGE OF WILLIAM AND MARY  
APPOINTMENT TO FILL A VACANCY IN THE  
EXECUTIVE FACULTY

A vacancy in the Executive Faculty of the College of William and Mary has resulted because of resignation, termination or the approval of an additional position.

BE IT RESOLVED, That upon recommendation of the President, the Board of Visitors of the College of William and Mary approves the appointment of the following individual to fill this position:

AMY STOAKLEY SEBRING, Chief Financial Officer, effective  
January 1, 2016

B.A., Duke University, 1993  
M.P.P., College of William & Mary, 1995

Virginia Commonwealth University  
Senior Associate Dean for Finance and Administration, School of  
Medicine, and Executive Director and Chief Operating Officer, Medical  
Center, 2013-2015  
Senior Associate Dean for Finance and Administration, 2010-2013  
Associate Dean for Finance and Administration, 2008-2010  
Assistant Dean for Finance and Administration, 2006-2008

Virginia General Assembly  
Legislative Fiscal Analyst, Senate Finance Committee, 2002-2006

State Council of Higher Education for Virginia  
Finance Policy Director, 2000-2002

Virginia Department of Planning and Budget  
Budget Analyst, 1997-2000

Education Commission of the States  
Research Associate, 1995-1997

COLLEGE OF WILLIAM AND MARY  
APPOINTMENT TO A FILL VACANCY IN THE  
INSTRUCTIONAL FACULTY

Vacancies in the Instructional Faculty of the College of William and Mary have resulted because of resignations, terminations or the approval of additional positions.

BE IT RESOLVED, That upon recommendation of the President, the Board of Visitors of the College of William and Mary approves the appointment of the following individual to fill this position effective with the 2015-2016 academic year:

NGUYEN TRAN, Assistant Professor of Military Science

B.S., Old Dominion University, 2001  
M.Ed., Strayer University, 2012

U.S. Army  
Selective Service Officer, 2011-2015  
Security, Plans and Operations Officer, 2010-2011  
Maintenance Officer, 2010  
Commander, 2007-2010

COLLEGE OF WILLIAM AND MARY  
APPOINTMENTS TO FILL VACANCIES IN THE  
PROFESSIONALS AND PROFESSIONAL FACULTY

Vacancies in the Professionals and Professional Faculty of the College of William and Mary have resulted because of resignations, terminations or the approval of additional positions.

BE IT RESOLVED, That upon recommendation of the President, the Board of Visitors of the College of William and Mary approves the appointments of the following individuals to fill these positions, effective with the dates listed below:

JESSICA D. AIKEN, Assistant Director, Volunteer Engagement, effective April 25, 2015

B.S., James Madison University, 2010

College of William & Mary  
Assistant Director, University Events, 2014-2015  
Assistant Director, Alumni Events, 2012-2014

Kingsmill Resort  
Catering Sales Manager, 2011-2012

Williamsburg Event Rentals  
Rentals Consultant, 2010-2011

ELISABETH A. BEAL, Assistant Dean, Career Services, effective September 10, 2015

B.A., St. Olaf College, 2009  
J.D., University of Miami School of Law, 2012

William & Mary Law School  
Director, Post-Graduate Fellowship Programs, Office of Career Services, 2014-2015

Morgan, Lewis & Bockius, LLP  
Associate, Labor and Employment Practice Group, 2012-2014

COLLEGE OF WILLIAM AND MARY  
APPOINTMENTS TO FILL VACANCIES IN THE  
PROFESSIONALS AND PROFESSIONAL FACULTY

VALERIE J. CUSHMAN, Director, Alumnae Initiatives, effective  
May 20, 2015

B.S.E., State University of New York at Cortland, 1984  
M.S.E., East Stroudsburg University, 1988  
Ph.D., Syracuse University, 2000

Cenergistic, The Energy Conservation Company  
Education Consultant, 2014-2015  
Vice President, Marketing, 2013-2014

Washington and Lee University  
Senior Assistant to the President, 2007-2013

Randolph College  
Special Assistant to the President, Director of Athletics and Chair of  
Physical Education, 1997-2007

BARBARA DRAUGHON, Senior Director of Regional Advancement – DC  
Metro, effective September 10, 2015

B.A., The Ohio State University, 1988

Volunteers of America, Inc.  
Director of Development, Major Gifts, 2009-2015

The Nature Conservancy  
Associate, Corporations and Foundations, 2009  
Campaign Priority Manager, 2008  
Director of Development, Andes Division, 2000-2002

National Children's Museum  
Senior Development Manager, 2005-2008

Independent Consultant, 2004-2005

Rare  
Director of Development, 2002-2004

COLLEGE OF WILLIAM AND MARY  
APPOINTMENTS TO FILL VACANCIES IN THE  
PROFESSIONALS AND PROFESSIONAL FACULTY

BARBARA DRAUGHON, (Cont'd)

Smithsonian Institution  
Development Officer, National Museum of Natural History, 1997-2000

Ohio Historical Society  
Development Officer, 1994-1997

JENNIFER A. FLOOR, Staff Psychologist, effective October 10, 2015

B.A. George Mason University, 2005  
M.A. (2007) and Psy.D. (2010), The Chicago School of Professional Psychology

Thriveworks/Private Practice  
Licensed Clinical Psychologist, 2015

Central State Hospital  
Psychologist II, 2011-2015

College of William & Mary  
Resident in Psychology, Counseling Center, 2010-2011

ROBBIE BANTOM GRAHAM, Senior Director, Stewardship and Donor Relations, effective September 25, 2015

B.A., Georgetown University, 1997

Georgetown University, Office of Advancement  
Director of Donor Relations, 2013-2015  
Director of Development and Campaign Events, 2008-2013  
Director of Special Events, 2004-2008  
Associate Director of Special Events, 2002-2004  
Director of Workforce Planning and Professional Development, 2000-2002  
Executive Assistant to the Associate Vice President for Advancement Services, Office of Alumni and University Relations, 1997-2000

COLLEGE OF WILLIAM AND MARY  
APPOINTMENTS TO FILL VACANCIES IN THE  
PROFESSIONALS AND PROFESSIONAL FACULTY

JESSICA HUDSON GUZZO, Virginia Institute of Marine Science Director of Sponsored Programs, effective November 10, 2015

B.A., Old Dominion University, 2002

George Mason University  
Director of Post Award Services, 2013-2015

North Carolina State University  
Financial Consultant, College of Education, 2013-2014  
Director of Finance and Business, College of Education, 2007-2013  
Accounting Technician, College of Agriculture and Life Sciences, 2005-2007

Glasser and Glasser, PLC  
Accounting Assistant, 1999-2005

SCOTT A. HALE, Assistant Director, Volunteer Management, effective September 10, 2015

B.A., Olivet Nazarene University, 2010  
M.Ed., West Virginia University, 2014

Netorian, LLC  
Battle Command Sustainment Support System Instructor, 2014-2015

Grace Church  
Production Director, 2012-2015

Stealth Force Seven Improv Comedy  
Owner, 2009-2014

James S. McNider, III PLC  
Paralegal, 2012-2014

AmeriCorps  
Member, 2011-2012

COLLEGE OF WILLIAM AND MARY  
APPOINTMENTS TO FILL VACANCIES IN THE  
PROFESSIONALS AND PROFESSIONAL FACULTY

MARJORIE A. HOLTZ, Assistant Director, Student Philanthropy & Recent Graduate Engagement, effective August 25, 2015

B.S., Villanova University, 2011  
M.A., Columbia University, 2012

College of William & Mary  
Coordinator for Student Philanthropy & Recent Graduate Engagement,  
Office of University Advancement, 2014-2015

Columbia University  
Coordinator for Student Philanthropy, Columbia College Fund, 2012-2014

Villanova University  
Program Assistant, Office of Student Life, 2012

JORDAN CARL HUNT, Associate Director, Development for Annual Giving, Mason School of Business, effective October 25, 2015

B.A., Utah State University, 2013

Sigma Phi Epsilon  
Advancement Officer, 2013-2015

U.S. House of Representatives  
Congressional Intern for Congressman Chris Stewart, 2013

PATRICE LINCOLN, Associate Director, Career Advising and Education, Mason School of Business, effective November 10, 2015

B.S. (1999) and M.B.A. (2011), Fitchburg State University

Mount Wachusett Community College  
Dean, Access & Transition, K-12 Partnerships, 2013-2015  
Assistant Dean, Access and Transition, 2011-2013  
Adjunct Faculty, 2010-2015

COLLEGE OF WILLIAM AND MARY  
APPOINTMENTS TO FILL VACANCIES IN THE  
PROFESSIONALS AND PROFESSIONAL FACULTY

BRADY K. MILLER, Executive Director, Advancement Events, effective  
September 1, 2015

B.A., Truman State University, 2003  
M.L.S., Indiana University, 2014

Indiana University  
Director of Special and Academic Events, Office of University Events,  
2013-2015  
Special Projects Manager, Office of the Chancellor, 2009-2013

Kansas State University Foundation  
Assistant Director of Events, 2005-2008

Manhattan Arts Center, Manhattan, Kansas  
Program and Marketing Director, 2003-2005

REBECCA MURRAY, Assistant Director of Campaign, effective  
May 10, 2015

B.A., Bucknell University, 1993  
M.S., Radford University, 2015

Virginia Polytechnic Institute and State University, Pamplin College of  
Business  
Assistant Director of Development, 2013-2015  
Development Associate, 2010-2012

Manifest Journals, LLC  
Consultant, 2012-2013

Cardagin Networks, Inc.  
Area Manager, New River Valley, 2012

COLLEGE OF WILLIAM AND MARY  
APPOINTMENTS TO FILL VACANCIES IN THE  
PROFESSIONALS AND PROFESSIONAL FACULTY

LUIZA NEWLIN-LUKOWICZ, Associate Director, Corporate & Foundation Relations, effective July 10, 2015

B.A. (2005) and M.A. (2007), Adam Mickiewicz University, Poland  
M.A., Eastern Michigan University, 2009  
Ph.D., New York University, 2015

New York University  
Adjunct Professor, Department of Linguistics, 2009-2015

LAUREN I. PETTENGILL, Assistant Dean of Admission, effective October 10, 2015

B.S., University of Mary Washington, 2013

College of William & Mary  
Administrative Coordinator, Department of Modern Languages and Literatures, 2014-2015

Stafford County Public Schools  
Substitute Teacher, 2013-2014

Potomac Tile and Marble, LLC  
Office Assistant, 2012-2014

ALLISON T. PURYEAR, Senior Assistant Director, Regional Alumni Engagement, effective June 10, 2015

B.A., Christopher Newport University, 2013

College of William & Mary  
Assistant Director of Alumni Engagement, Office of University Advancement, 2014-2015

Phi Mu Fraternity  
Chapter Leadership Consultant, Peachtree City, GA, 2013-2014

COLLEGE OF WILLIAM AND MARY  
APPOINTMENTS TO FILL VACANCIES IN THE  
PROFESSIONALS AND PROFESSIONAL FACULTY

WILMARIE RODRIGUEZ, Assistant Dean of Students – Generalist,  
effective November 2, 2015

B.S., Excelsior College, 2007  
M.Ed., Trident University International, 2012  
Ed.S., Walden University, 2015

College of William & Mary  
Academic Advisor, 2014-2015

Department of the Army  
Education Services Specialist, 2013-2014  
Guidance Counselor, 2011-2012

Serco  
Counselor, Army Career and Alumni Program, 2012-2013

Texas A&M University  
Enrollment Management Specialist, 2010-2011

MICHAEL SHUSHAN, Director, Web and Digital Initiatives, effective  
August 17, 2015

B.A., Emerson College, 1992

Virginia Alcoholic Beverage Control  
User Interface Developer and User Experience Designer, 2011-2015

Three Pillar Global, Inc.  
User Interface Developer, 2011

Comcast Interactive Media  
User Interface Developer, 2007-2011

Integrated Media Concepts  
Interactive Developer, 2005-2006

Freelance Web Consultant, 2001-2006

COLLEGE OF WILLIAM AND MARY  
APPOINTMENTS TO FILL VACANCIES IN THE  
PROFESSIONALS AND PROFESSIONAL FACULTY

MICHAEL SHUSHAN, (Cont'd)

CDNOW  
Product Manager, 1999-2001

United Press International  
Web Content Producer, 1998-1999

Digital Culture Interactive  
Co-founder and Publisher, 1995-1998

JESSICA F. SKINNER, Assistant Director of Volunteer Engagement,  
effective May 25, 2015

B.A., College of William & Mary, 2006  
M.A., George Mason University, 2009

College of William & Mary, University Advancement  
Executive Assistant to the Associate Vice President for Advancement  
Services, 2010-2015  
Executive Secretary, Corporate and Foundation Relations, 2009-2010

MICHAEL A. STEELMAN, Director, Alumni Career Services, effective  
September 10, 2015

B.M.A., University of Michigan, 2002

The George Washington University  
Director of Alumni Career Services, 2012-2015  
Associate Director of Alumni Career and Volunteer Services, 2010-2012  
Associate Director of Alumni Volunteer Programs, 2008-2010

Levine School of Music  
Manager of Major and Corporate Gifts, 2006-2007

University of Michigan  
Coordinator of Resources and Student Outreach, Arts at Michigan,  
2002-2006

COLLEGE OF WILLIAM AND MARY  
APPOINTMENTS TO FILL VACANCIES IN THE  
PROFESSIONALS AND PROFESSIONAL FACULTY

TAYLOR S. STEPHENS, Assistant Dean of Admission, effective  
October 5, 2015

B.A., College of William & Mary, 2014

2Revolutions, LLC  
Research and Technical Writing Consultant, 2015

Stephens Funeral Home, Inc.  
Project and Growth Management, 2014-2015

CHRISTOPHER M. STRATTON, Senior Associate Director, Volunteer  
Engagement, effective June 10, 2015

B.B.A., College of William & Mary, 2008

College of William & Mary  
Assistant Director, Volunteer Engagement, 2014-2015  
Assistant Director of Development for Athletics, 2011-2014

Longwood University  
Special Assistant to the Director of Athletics, 2010-2011

Hampden-Sydney College  
Assistant Sports Information Director, 2009-2010  
Assistant Basketball Coach, 2009-2010

JULIE SIZEMORE TUCKER, Marketing Manager, effective July 25, 2015

B.A., College of William & Mary, 2001  
A.A.S., Parsons School of Design, 2005

The University of North Carolina at Chapel Hill  
Assistant Director of Admissions for Communications, 2007-2015

Futurethink, LLC  
Art Director, 2005-2007

Two Rivers Multimedia  
Freelance Designer, 2005

Board of Visitors

Resolution 7

November 18-20, 2015

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COLLEGE OF WILLIAM AND MARY  
DESIGNATED PROFESSORSHIPS

The following members of the Instructional Faculty of the College of William and Mary have been recommended for a designated professorship.

BE IT RESOLVED, That upon recommendation of the President, the Board of Visitors of the College of William and Mary approves the designated professorships for the following members of the Faculty of the College, effective with the 2015-2016 academic year:

DENISE A. JONES, John S. Quinn Term Professor of Business

KAREN LOCKE, Pat and Margaret Walsh Professor in Leadership and Ethics

NICHOLAS POPPER, Class of 1952 Associate Professor of History

Board of Visitors

Resolution 8

November 18-20, 2015

Page 1 of 1

COLLEGE OF WILLIAM AND MARY  
FACULTY LEAVE OF ABSENCE

The following faculty member has requested a leave of absence without pay or with partial pay during the 2015-2016 academic year for the reason given.

BE IT RESOLVED, That upon recommendation of the President, the Board of Visitors of the College of William and Mary approves this leave of absence:

ERIC HAN, Associate Professor of History and Asian and Middle Eastern Studies, to accept a Japanese Studies Fellowship with the Japan Foundation

COLLEGE OF WILLIAM AND MARY  
RETIREMENT OF JOHN M. BRUBAKER  
SCHOOL OF MARINE SCIENCE

John M. Brubaker joined the faculty of the College of William and Mary in 1983 as an Assistant Professor in the School of Marine Science, after completing a Post Doctoral Fellowship at the University of Western Australia. He received his A.B. in Physics in 1969 from Miami University of Ohio, and his Ph.D. in Physical Oceanography in 1979 from Oregon State University. He was promoted to Associate Professor in the School of Marine Science in 1989, and in 2008 he received the Virginia Institute of Marine Science Outstanding Teacher Award.

Professor Brubaker's research has focused on the physics of estuaries, lakes, and the coastal zone, and has included applications of physical oceanography to diverse interdisciplinary issues. His physically-oriented studies have included turbulent microstructure in lakes, dynamics of estuarine fronts, wind-induced mixing on the shelf, and coastal sea level anomalies. His interdisciplinary studies have included the transport of oyster larvae in estuaries, movement of zooplankton on the shelf, estuarine hypoxia, and factors contributing to attenuation of light in coastal waters. Professor Brubaker has applied his expertise to many societally-relevant issues, including the effects of construction on estuarine circulation in Hampton Roads, analysis of extreme water levels in the Chesapeake Bay, use of observing systems by the Coast Guard, and transport of pollutants in the Elizabeth River. He has served for many years on the steering committee of the Mid-Atlantic Bight Physical Oceanography and Meteorology Conference series, and also as the VIMS representative to the Mid-Atlantic Regional Association Coastal Ocean Observing System.

Professor Brubaker has been one of School of Marine Science's most dedicated teachers, having led the School's "Fundamentals of Physical Oceanography" core course for more than 20 years. He team taught the Marine Science Minor's undergraduate class on "Field Studies in Coastal Marine Environments" for the last seven years, and contributed to dozens of other courses over more than three decades. Because of his outstanding ability to relate the intricacies of physical oceanography to geologists, chemists, biologists, and fisheries scientists, Professor Brubaker has been in popular demand as a graduate advisory committee member. Since arriving at VIMS in the 1980s, he has served as a member of the Masters or Ph.D. advisor committees of well over 100 graduate students. Professor Brubaker has also been a selfless contributor to university governance, having served in dozens of positions over the years, including secretary of both the SMS Academic Council and the SMS Faculty Council, Chair of the SMS Fellowship Committee, and Chair of Physical Science Department's Physical Oceanography Subfaculty.

Board of Visitors

Resolution 9

November 18-20, 2015

Page 2 of 2

BE IT RESOLVED, That the Board of Visitors acknowledges the retirement of Professor John M. Brubaker; expresses its appreciation to him for the many contributions he has made to the College of William and Mary; and approves, with deep gratitude for his 33 years of devoted service to the university, a change in status from Associate Professor of Marine Science to Professor of Marine Science, Emeritus.

BE IT FURTHER RESOLVED, That this resolution be spread upon the minutes of the Board and a copy of the same be delivered to Professor Brubaker with best wishes for continuing and creative work in the years ahead.

COMMITTEE ON ADVANCEMENT

November 19, 2015

9:30 – 10:00 a.m.

Board Room - Blow Memorial Hall

Sue H. Gerdelman, Chair

Lynn M. Dillon, Vice Chair

Keith S. Fimian, Vice Chair

Christopher M. Little, Vice Chair

I. Opening Remarks – Ms. Gerdelman

II. Approval of Minutes

1. September 17, 2015
2. October 22, 2015 – Advancement Working Group

III. University Advancement Report – Vice President Matthew T. Lambert

IV. Closed Session (if necessary)

V. Discussion

VI. Adjourn

COMMITTEE ON UNIVERSITY ADVANCEMENT  
MINUTES – SEPTEMBER 17, 2015

ADVANCEMENT WORKING GROUP  
MINUTES – OCTOBER 22, 2015

**MINUTES**  
**Committee on University Advancement**  
**September 17, 2015**  
**Board Room - Blow Memorial Hall**

Attendees: Sue H. Gerdelman, Chair; Lynn M. Dillon, Vice Chair, Christopher M. Little, Vice Chair. Board members present: Rector Todd A. Stottlemyer, Kendrick F. Ashton, Jr., Ann Green Baise, James A. Hixon, John E. Littel, William H. Payne II, Lisa E. Roday, Karen K. Schultz, Robert E. Scott, DeRonda M. Short, John Charles Thomas, H. Thomas Watkins III, Student Representative Yohance D. Whitaker and Staff Liaison Claire Leatherwood. Others attending: President W. Taylor Reveley III, Provost Michael R. Halleran, Virginia M. Ambler, Mark L. Begly, Francis Bradford, Henry R. Broaddus, Kate Conley, Carrie L. Cooper, Davison M. Douglas, Edward C. Driscoll, Lee J. Foster, Michael J. Fox, Daniel H. Frezza, W. Fanchon Glover, Heather E. Golden, Earl T. Granger, III, Cynthia S. Jarboe, Samuel E. Jones, Matthew T. Lambert, Jennifer B. Latour, Deborah A. Love, Jeremy P. Martin, Marilyn N. Midyette, Jennifer J. Morgan, Jake A. Perez, Jennifer Shimp-Bowerman, John T. Wells, Brian W. Whitson and Sandra J. Wilms.

Chair Sue H. Gerdelman called the meeting to order at 10:10 a.m. and welcomed Cynthia Jarboe, President of the Alumni Association Board. Mrs. Jarboe announced that Homecoming 2015 was quickly approaching and encouraged all to register for the upcoming homecoming events.

Ms. Gerdelman moved that the Committee on University Advancement convene in closed session pursuant to Section 2.2-3711.A.8., of the Code of Virginia, in order to discuss specific recommendations related to future fundraising strategies as well as current development activities. Motion was seconded by Ms. Dillon and approved by voice vote. The observers were asked to leave the room and the Committee went into closed session at 10:12 a.m.

The Committee reconvened in open session at 11:05 a.m. Ms. Gerdelman reviewed the topics discussed during closed session for the benefit of the observers, then moved to adopt the **Resolution** certifying that the closed session was held in compliance with the Freedom of Information Act. Motion was seconded by Ms. Dillon and approved by roll call vote conducted by Secretary to the Board Michael Fox. (Certification **Resolution** is appended).

Recognizing that a quorum was present, Ms. Gerdelman asked for a motion to approve the minutes of the meeting of April 22, 2015. Motion was made by Mr. Watkins, seconded by Ms. Dillon and approved by voice vote.

Ms. Gerdelman thanked Cindy Jarboe for attending the meeting.

There being no further business, the Committee adjourned at 11:06 a.m.

Committee on University Advancement

**Resolution UA-1**

September 17, 2015

**CERTIFICATION OF CLOSED SESSION**

WHEREAS, the Board of Visitors Committee on University Advancement has convened a closed session on this date pursuant to an affirmative recorded vote and in accordance with the provisions of The Virginia Freedom of Information Act; and

WHEREAS, §2.2-3712.D. of the Code of Virginia requires a certification by this Committee that such closed session was conducted in conformity with Virginia law;

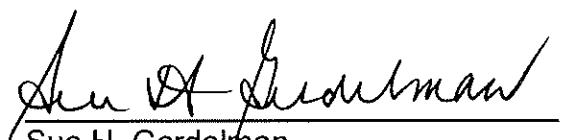
NOW, THEREFORE, BE IT RESOLVED, That the Committee on University Advancement reconvening in open session, hereby certifies that, to the best of each member's knowledge, (i) only public business matters lawfully exempted from open meeting requirements by Virginia law were discussed in the closed session to which this certification 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 Committee on University Advancement.

**VOTE**

AYES: 15

NAYS: 0

**ABSENT DURING CLOSED SESSION:**



Sue H. Gerdelman  
Sue H. Gerdelman  
Chair  
Committee on University Advancement

**MINUTES**  
**Advancement Working Group**  
**October 22, 2015**  
**Blow Memorial Hall – Room 201**

**Board of Visitors Attendees:**

Sue H. Gerdelman, H. Thomas Watkins, III, James A. Hixon

**Others attending:** President W. Taylor Reveley III, Provost Michael R. Halleran, Matthew T. Lambert, Mark L. Begly, Janet R. Atwater, Peter W. Atwater, David M. Brashear, A. Bruce Chamberlin, David T. Croall, David A. Eklund, Jean B. Estes, John W. Gerdelman, Nancy B. Gofus, Cindy Jarboe, Jane T. Kaplan, Jim R. Kaplan, David N. Kelley, Chip A. Mason, Nancy W. Mathews, Goody Tyler III, Devin I. Murphy, Charlie J. Natale, Trisha E. Nelson, Michael D. Nelson, Ellen R. Stofan, Tim P. Dunn, Emma C. Lowther, Hunter J. Smith, Lee J. Foster, Rebecca Murray, Jennifer Shimp-Bowerman, Monique D. Dandridge, Dan H. Frezza, Heather E. Golden, Earl T. Granger III, Jake A. Perez, and other College staff.

Chair Sue Gerdelman called the meeting to order at 2:02 p.m. and expressed her thanks to those attending.

Ms. Gerdelman moved that the Advancement Working Group convene in Closed Session to discuss specific recommendations related to campaign vision, campaign progress and post-launch campaign strategy as provided for in Section 2.2-3711.A.8, of the Code of Virginia. Motion was seconded by Mr. Hixon and approved by voice vote. The observers were asked to leave the room and the Advancement Working Group went into closed session at 2:05 p.m.

The Advancement Working Group reconvened in open session at 3:18 p.m. Ms. Gerdelman reviewed the topics discussed during closed session for the benefit of the observers, then moved adoption of the **Resolution** certifying that the closed session was held in compliance with the Freedom of Information Act. Motion was seconded by Mr. Watkins and approved by voice vote of the Advancement Working Group conducted by Ms. Gerdelman. (Certification **Resolution** is appended.)

There being no further business, the Advancement Working Group adjourned at 3:25 p.m.

Advancement Working Group

October 22, 2015

**Resolution DWG-1**

**CERTIFICATION OF CLOSED SESSION**

WHEREAS, the Advancement Working Group has convened a closed session on this date pursuant to an affirmative recorded vote and in accordance with the provisions of The Virginia Freedom of Information Act; and

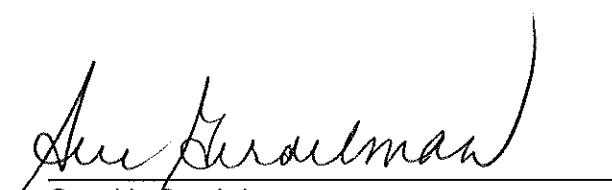
WHEREAS, 12.2-3712.D. of the Code of Virginia requires a certification by this Committee that such closed session was conducted in conformity with Virginia law;

NOW, THEREFORE, BE IT RESOLVED, That the Advancement Working Group, reconvening in open session, 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 session to which this certification 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 Advancement Working Group.

**VOTE**

AYES: 3

NAYS: 0



Sue H. Gerdelman  
Sue H. Gerdelman  
Chair, Advancement Working Group

COMMITTEE ON STRATEGIC INITIATIVES AND NEW VENTURES

November 19, 2015

10:00 – 10:30 a.m.

Board Room – Blow Memorial Hall

Thomas R. Frantz, Chair

John E. Littel, Vice Chair

Lisa E. Roday, Vice Chair

Robert E. Scott, Vice Chair

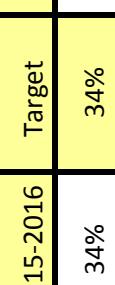
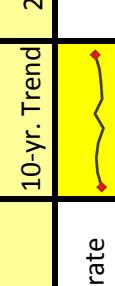
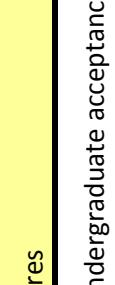
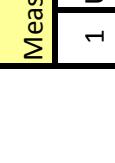
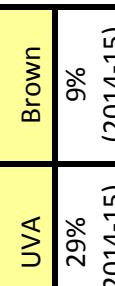
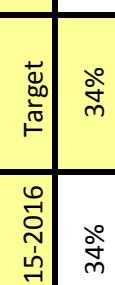
H. Thomas Watkins III, Vice Chair

- I. Introductory Remarks – Mr. Frantz
- II. University Dashboard Update - Enclosure C.
- III. Update on Regional Activity
- IV. Closed Session (if necessary)
- V. Adjourn

## Strategic Planning Dashboard

Board of Visitors  
November 18-20, 2015

In the 10-year trend column, movements up usually represent improvement. For graphs highlighted in yellow, downward movements are improvements.

Challenge: Leading Liberal Arts University							Comparisons		
Measures	10-yr. Trend	2011-12	2012-13	2013-14	2014-2015	2015-2016	Target	UVA	Brown
1 Undergraduate acceptance rate		35%	32%	33%	33%	34%	34%	29% (2014-15)	9% (2014-15)
2 Undergraduate yield rate		33%	33%	32%	31%	29%	34%	41% (2014-15)	59% (2014-15)
3 Undergraduate SAT scores: 25th – 75th percentile range		1240-1450	1250-1460	1270-1460	1270-1470	1260-1460	1250-1450	1250-1460 (2014-15)	1330-1550 (2014-15)
4 Undergraduate graduation rate: Completions within 6 years		90%	90%	90%	90%	Avail. 3/2016	93%	94% (2008 cohort)	96% (2008 cohort)
5 Student-faculty ratio		12:1	12:1	12:1	12:1	12:1	Avail. 4/2016	< 13:1 (2014-15)	15:1 (2014-15)
6 Small undergraduate classes: Percent with 2-19 students		48%	49%	48%	48%	48%	Avail. 4/2016	50% (2014-15)	55% (2014-15)
7 USNWR: Commitment to Teaching		8	6	3	2	4	1	N/A	3
8 Faculty Salaries: SCHEV peer group percentile		21%	23%	34%	39%	39%	Avail. 4/2016	60% by 2018	31% N/A
Challenge: Diversity							Comparisons		
Measures	10-yr. Trend	2011-12	2012-13	2013-14	2014-2015	2015-2016	Target	UVA	Brown
9 Undergraduate students who are 9 members of historically underrepresented groups		26%	27%	28%	29%	29%	N/A	28% (2014-15)	36% (2014-15)
10 Graduate/professional students who are members of historically underrepresented groups		15%	16%	15%	14%	16%	N/A	17% (2014-15)	24% (2014-15)
11 Undergraduate Pell Grant Recipients		12%	12%	12%	12%	Avail. 3/2016	N/A	13% (2013-14)	16% (2013-14)

## Strategic Planning Dashboard

Board of Visitors  
November 18-20, 2015

In the 10-year trend column, movements up usually represent improvement. For graphs highlighted in yellow, downward movements are improvements.

Challenge: Global Engagement										Comparisons	
Measures	10-yr. Trend	2011-12	2012-13	2013-14	2014-2015	2015-2016	Target	UVA	Brown		
12 Undergraduate students with international citizenship		3%	4%	4%	5%	6%	N/A	5% (2014-15)	12% (2014-15)		
13 Graduate students with international citizenship		12%	13%	15%	15%	14%	N/A	15% (2014-15)	28% (2014-15)		
14 Undergraduate students who study abroad		46%	47%	48%	50%	Avail. 5/2016	60% by 2018	N/A	N/A		
15 Total international student enrollment		479	551	575	667	687	600 by 2016	N/A	N/A		
16 Total countries with students enrolled		60	50	55	58	65	60 by 2016	N/A	N/A		
Challenge: Lifelong Connection											
Measures	10-yr. Trend	2011-12	2012-13	2013-14	2014-2015	2015-2016	Target	UVA	Brown		
17 Alumni giving participation rate: undergraduates with degrees		23.6%	23.9%	24.9%	27.1%	Avail. 9/2016	40% by 2020	23% (USNWR)	31.8% (2013-14)		
Challenge: Communications											
Measures	10-yr. Trend	2011-12	2012-13	2013-14	2014-2015	2015-2016	Target	UVA	Brown		
18 USNWR: National Universities		33 (tie)	32 (tie)	33 (tie)	34 (tie)	Avail. 9/2016	N/A	26 (tie)	14		
19 USNWR: Public Universities		6	6	6	6	Avail. 9/2016	N/A	3 (tie)	N/A		

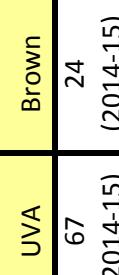
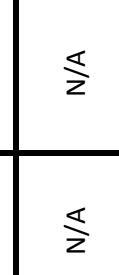
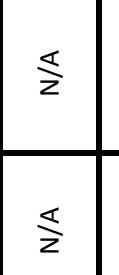
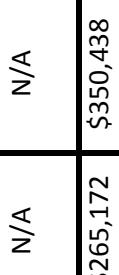
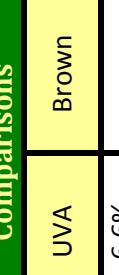
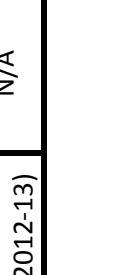
Enclosure C  
Page 2 of 3

## Strategic Planning Dashboard

Board of Visitors  
November 18-20, 2015

Enclosure C  
Page 3 of 3

In the 10-year trend column, movements up usually represent improvement. For graphs highlighted in yellow, downward movements are improvements.

Challenge: Business Plan										Comparisons	
Measures	10-yr. Trend	2011-12	2012-13	2013-14	2014-2015	2015-2016	Target	UVA	Brown		
20 USNWR: Financial resources rank		112	114	110	113	Avail. 9/2016	< 70	67 (2014-15)	24 (2014-15)		
21 Total sponsored program expenditures (millions)		\$55	\$57	\$59	Avail. 4/2016	Avail. 4/2017	\$60 by 2014	\$332 (2013-14)	\$116 (2012-13)		
22 Debt Service as Percent of Operating Expense		6.5%	6.8%	5.7%	5.8%	Avail. 9/2016	< 7%	N/A	N/A		
Annual giving to the Fund for W&M plus expendable scholarships (in millions)		\$6.2	\$6.4	\$6.8	\$8.6	Avail. 9/2016	\$9 by 2020	N/A	N/A		
24 Total annual giving not including big gifts (< \$100k gifts; in millions)		\$15.2	\$17.1	\$19	\$20.6	Avail. 9/2016	\$22 by 2020	N/A	N/A		
25 Total New Private Gift Activity (in millions). New gifts plus new commitments.		\$80	\$104	\$106	Avail. 9/2016	> \$100	N/A	N/A	N/A		
26 Endowment per student (year end)		\$82,870	\$87,963	\$99,388	\$100,572	Avail. 10/2016	\$175,000 by 2020	\$265,172 (2013-14)	\$350,438 (2013-14)		
27 Total Endowment (in millions)		\$644	\$698	\$798	\$811	Avail. 10/2016	\$1,500 by 2020	\$5,946 (2013-14)	\$3,000 (2013-14)		
28 Average per-borrower cumulative undergraduate debt		\$24,344	\$24,400	\$25,733	Avail. 2/2016	Avail. 2/2017	< \$20,000	\$22,933	\$24,300		
29 Undergraduate students who graduate with debt		41%	38%	38%	Avail. 2/2016	Avail. 2/2017	< 40%	36%	35%		
Challenge: Administrative Resources and Infrastructure										Comparisons	
Measures	10-yr. Trend	2011-12	2012-13	2013-14	2014-2015	2015-2016	Target	UVA	Brown		
30 All E&G Facilities Condition Index		6.3%	6.9%	5.7%	5.8%	Avail. 2/2016	< 10%	6.6% (2012-13)	N/A		

COMMITTEE ON STUDENT AFFAIRS  
November 19, 2015  
11:20 a.m. – 12 Noon  
Board Room - Blow Memorial Hall

Lisa E. Roday, Chair  
William H. Payne II, Vice Chair

- I. Introductory Remarks - Ms. Roday
- II. Report from Vice President for Student Affairs – Virginia M. Ambler
  - A. Involving Parents and Families as Partners in the Enterprise:  
Creative Collaboration between Student Affairs and Advancement
- III. Report from Student Liaisons
- IV. Discussion
- V. Adjourn

COMMITTEE ON ADMINISTRATION, BUILDINGS AND GROUNDS

November 19, 2015

2:00 – 3:15 p.m.

Board Room - Blow Memorial Hall

Ann Green Baise, Chair

John Charles Thomas, Vice Chair

- I. Introductory Remarks – Ms. Baise
- II. Approval of Minutes – September 17, 2015
- III. Report from Building Official – David W. Rudloff
- IV. Report from Virginia Institute of Marine Science – Dean/Director John T. Wells
  - A. Capital Outlay Project Progress Report. Enclosure D.
- V. Report from Senior Vice President for Finance and Administration – Samuel E. Jones
  - A. Capital Outlay Project Progress Report. Enclosure E.
  - B. Resolution to Approve Easement for New Transformer for Zable Stadium Underground Electric Facilities: Virginia Electric and Power Company. **Resolution 10**.
- VI. Closed Session (if necessary)
- VII. Discussion
- VIII. Adjourn

COMMITTEE ON ADMINISTRATION,  
BUILDINGS AND GROUNDS  
MINUTES – SEPTEMBER 17, 2015

**MINUTES**  
**Committee on Administration, Buildings & Grounds**  
**September 17, 2015**  
**Board Room – Blow Memorial Hall**

Attendees: Ann Green Baise, Chair; John Charles Thomas, Vice Chair; James A. Hixon; William H Payne II; Karen Kennedy Shultz; DeRonda M. Short and faculty Committee representative Elizabeth Barnes. Board members present: Lynn M. Dillon, Sue H. Gerdelman, Christopher M. Little, Lisa E. Roday, and staff liaison Claire Leatherwood. Others present: President W. Taylor Reveley III; Provost Michael Halloran; Dean Carrie Cooper, Dean Kate Conley, Dean John Wells, Alumni Association President Cynthia S. Jarboe, Virginia M. Ambler, Edward C. Driscoll, Jr., Kent B. Erdahl, Michael J. Fox, W. Fanchon Glover, Samuel E. Jones, Matthew T. Lambert, Jennifer Latour, University Counsel Deborah A. Love, Jeremy P. Martin, Marilyn W. Midyette, Brian W. Whitson, and other College, RBC and VIMS faculty and staff.

Chair Ann Green Baise called the meeting to order at 9:15 a.m. and welcomed the new members to the Committee. Recognizing that a quorum was present, Ms. Baise requested a motion to approve the minutes, as amended (paragraph 4, first line correction to “Virginia *Institute of* Marine Science Dean/Director”), of the April 23, 2015, meeting. Motion was made by Mr. Thomas, seconded by Ms. Shultz, and approved by voice vote of the Committee.

Ms. Baise introduced the Building Code Official, David W. Rudloff, who provided a brief report. The Committee had no questions.

Dean John T. Wells provided highlights from VIMS written report on capital outlay projects, as detailed in Enclosure G. He reviewed the separate campuses. He updated the status of design and construction on the Bay Eagle replacement vessel (by 2017), the Consolidated Research Facility, the new Facilities Management building, and the Oyster Hatchery. Ms. Short remarked on favorable press locally for VIMS. Ms. Baise remarked that VIMS was “the darling of the General Assembly.” Ms. Schultz remarked on an impromptu tour she took of the VIMS facility at Wachapreague during an Eastern Shore visit.

Ms. Baise, chair of the College’s Design Review Board (DRB), which is advisory to the President on all matters architectural, reported to the Committee on the actions of the DRB on the previous day.

Senior Vice President for Finance and Administration Samuel E. Jones reviewed the duties of the Administration, Buildings and Grounds Committee, including general oversight of matters pertaining to Human Resources, Information Technology, Procurement, the 2006 Restructured Authorities, architectural standards, construction oversight, and approval of the capital outlay six year plan.

Mr. Jones reported on the College’s capital outlay project progress report, as detailed in Enclosure H. He reviewed those projects in design and under construction, including the Integrated Science Center 3, Zable Stadium Expansion, Tyler Hall Renovation, Chandler Hall

Committee on Administration, Buildings and Grounds  
MINUTES  
Page 2

Renovation; Integrative Wellness Center, Basketball Practice Facility, Alumni Center Expansion, and Athletics Aquatic Center.

Mr. Jones also reviewed a change in approach to dormitory renovation. Typically performed over the summer break, dorm renovations could take up to three summers to complete, which is inefficient at best. With the acquisition of One Tribe Place, the College may take entire buildings off-line for a complete renovation, as was done with Chandler Hall. Wholesale fifteen month renovations allow the College to maintain the character and quality of old buildings, add central air wherever possible, and improve function and durability.

Mr. Jones reviewed **Resolution 8**, Resolution for Transfer of Property to the William and Mary Real Estate Foundation: Blank House; **Resolution 9**, Resolution to Approve Revised Scope and Budget: Construct Integrative Wellness Center; **Resolution 10**, Resolution of the Board of Visitors of the College of William and Mary 9(D) Pooled Bond Program: Construct Integrative Wellness Center; **Resolution 11**, Resolution of the Board of Visitors of the College of William and Mary Declaring the Intention to Reimburse the Cost of Certain Expenditures: Integrative Wellness Center; and **Resolution 12**, Resolution to Approve Easement for Plumeri Park Batting Cages Underground Electric Facilities: Virginia Electric and Power Company.

Following brief discussion, Ms. Baise requested a motion to approve **Resolutions 8 through 12** as a block, and recommend them to the full Board for adoption. Motion was made by Ms. Short, seconded by Mr. Thomas, and approved by voice vote of the Committee.

The reports completed, and there being no further business, the Committee moved to adjourn at 10:05 a.m.

Board of Visitors

Enclosure       D      

November 18 - 20, 2015

Page       1       of       3      

## **VIRGINIA INSTITUTE OF MARINE SCIENCE CAPITAL OUTLAY PROJECT PROGRESS REPORT**

### **268 - 18088 Facilities Management Building**

Appropriation Amount: \$1,100,000  
Design Team: RRMM  
Fund Sources: Higher Education Operating

Biennium: 2014-2016  
Obligated to Date: \$747,681  
Contractor: TBD

Description: This appropriation funds the detailed planning of a new 15,000 square-foot building to provide space for the Facilities Management Department Safety and Environmental Programs, and Shipping, Receiving and Mailroom including administrative offices, trade shops, vehicle repair, grounds, housekeeping and storage.

Progress: Preliminary design was approved by the Code Review Team (CRT). The Bureau of Capital Outlay Management (BCOM) is reviewing the preliminary design for their cost analysis and funding report. The preliminary design was approved by the Design Review Board and Art and Architectural Review Board in September/October 2015 respectively.

### **268 - 17950 Research Vessel**

Appropriation Amount: \$10,050,000  
Design Team: JMS Naval Architects  
Fund Sources: VCBA Bonds

Biennium: 2012-2014  
Obligated to Date: \$676,239  
Contractor: TBD

Description: This appropriation funds the planning and construction of a new custom designed research vessel to replace the R/V Bay Eagle.

Progress: JMS is currently preparing the Contract Drawings which are scheduled to be completed in November 2015. Advertising for pre-qualification of shipyards is scheduled for December 2015. Award of a construction contract is expected in March 2016.

### **268 - 17993 Consolidated Scientific Research Facility**

Appropriation Amount: \$13,553,021  
Design Team: Moseley Architects  
Fund Sources: VCBA Bonds

Biennium: 2012-2014  
Obligated to Date: \$692,721  
Contractor: Barton Malow Company

Description: This appropriation funds the planning and construction of a new 32,000 square-foot building to provide research, study, office, and technology space for the following units: Information Technology, Marine Advisory Services, Virginia Sea Grant, Center for Coastal Resources Management, and the Publications/Communications Center in a single facility.

Board of Visitors

Enclosure       D      

November 18 - 20, 2015

Page   2   of   3  

Progress: The project is in working drawings and is tentatively scheduled for submittal to CRT in January 2016. BCOM finished the cost analysis and issued their funding report that included an additional \$2.6M for construction that established the new project budget. The first phase of the archaeology was completed and the management summary was submitted to the Department of Historic Resources (DHR) in October 2015. VIMS is waiting for further guidance from DHR.

### **268 - 16634 Property Acquisition: VA-NERRS**

Appropriation Amount: \$350,000

Biennium: 2000-2002

Fund Source: Federal Funds

Obligated to Date: \$193,000

Description: This appropriation funds the purchase of properties by the Virginia Estuarine & Coastal Research Reserve System using federal grants.

Progress: No current properties available. The appropriation remains open for future acquisitions.

### **268 - 16299 Property Acquisition: Master Plan Properties**

Appropriation Amount: \$1,100,000

Biennium: 2000-2002

Fund Sources: VCBA Bonds

Obligated to Date: \$1,099,781

Higher Education Operating

Description: This appropriation funds the purchase of properties contiguous to the Gloucester Point campus.

Progress: The appropriation remains open for future acquisitions.

### **268 - 16149 Property Acquisition: Wachapreague**

Appropriation Amount: \$743,926

Biennium: 1998-2000

Fund Sources: Private Funds

Obligated to Date: \$733,028

Higher Education Operating

Description: This appropriation funds the purchase of properties contiguous to the Eastern Shore Laboratory campus at Wachapreague, Virginia.

Progress: No current properties available. The appropriation remains open for future acquisitions.

Board of Visitors

Enclosure       D      

November 18 - 20, 2015

Page   3   of   3  

### **268-12331 Maintenance Reserve**

Funding Sources: VCBA (0817)  
E&G (0100)

2012 - 14	Carry Over:	\$106,782
2015	Appropriation:	\$286,612
2016	Appropriation:	\$508,422
	<b>Total:</b>	<b>\$901,816</b>

<u>Spent-to-date</u>	<u>(\$319,198)</u>
	\$582,618

<u>Remaining Project Commitments</u>	<u>(\$447,346)</u>
Maintenance Reserve Fund Balance	\$135,272

### **2015 Projects**

Projects in Design:

- Replace Atrium Roof at Chesapeake Bay Hall
- Repair Sewer Pump Station #1 and #2

Projects Completed:

- Point Up Exterior of Chesapeake Bay Hall
- Replace the Cooling Tower on Chesapeake Bay Hall
- Replace Turbocor Compressor at Chesapeake Bay Hall
- Replace Boilers in Chesapeake Bay Hall

### **2016 Projects**

Projects Planned:

- Replace Exterior Doors and Windows at Hall House
- Dredge Boat Basin
- Replace Boiler in Fisheries Science Laboratory
- Replace Boiler in Nunnally Hall
- Replace Boiler in Andrews Hall-Phase II
- Replace Chesapeake Bay Hall Mechanical Systems

Projects under Construction:

- Replace Boilers in Andrews Hall-Phase I

**COLLEGE OF WILLIAM AND MARY**  
**CAPITAL OUTLAY PROJECT PROGRESS REPORT**

**204-17650 Construct: Integrated Science Center Ph 3**

Design Team: EYP	Biennium: 2008-2010
Budget: \$74,180,000	Contractor: Whiting Turner
Funding Source: state	Obligated to date: \$65,306,491

**Description:** The project will construct a 113,000 gsf facility, designed for scientific research in existing applications (applied science, biology, chemistry, and psychology), future inter-disciplinary programs, and computer modeling.

**Progress:** Air handling units have been installed on the roof, and air shafts to connect to all floors are nearing completion. Wall partition construction and associated mechanical and electrical rough-in are in progress on all floors. Masonry construction of the block and brick shell is approximately 70% complete to weather in the building. Construction completion remains scheduled for summer, 2016. Demolition of Millington will begin as soon as the building is vacated and is anticipated to last for six months.

**204 – 17994 Renovate: Tyler Hall**

Design Team: Mitchell-Matthews	Biennium: 2012-2014
Budget: \$15,671,412	Contractor: W.M. Jordan
Funding Source: state	Obligated to date: \$14,852,928

**Description:** The project will reconfigure and improve the 1925 era Tyler Hall, last upgraded in 1980. Building systems, instructional space, and technology will be modernized. The attic level will be built-out as faculty office space.

**Progress:** Structural repairs and reframing are complete. New partition framing and mechanical/electrical rough-in are nearing completion on all floors. The College requested additional funding from the Commonwealth to address significant unforeseen structural conditions. Documentation to BCOM is complete and the College is awaiting a response. Construction will be complete no later than July, 2016, with occupancy to occur in August.

**204 – 18002 Improve: Accessibility Infrastructure**

Design Team: Clark-Nexsen	Biennium: 2012-2014
Budget: \$2,889,456	Contractor: TBD
Funding Source: state	Obligated to date: \$451,365

**Description:** The project supports review, design, and construction of improvements to remedy accessibility issues at facilities not currently targeted for renovation within the next decade, and at various other campus locations.

Progress: Working drawings have been prepared for code review of nine projects including installation of an Adair Hall elevator and restrooms, improvement of campus pathways, and construction of two access ramps. Construction is anticipated to take nine months following issuance of a building permit.

**204 – 18003 Improve: Lake Matoaka Dam Spillway**

Design Team: Draper Aden

Biennium: 2012-2014

Budget: \$3,169,182

Contractor: TBD

Funding Source: state

Obligated to date: \$270,892

Description: State Dam Safety Regulations currently require that the spillways of all high hazard dams must pass 90% of the probable maximum flood (PMF). This results in 7 foot overtopping of existing earthen dam.

Progress: No change. The Department of Environmental Quality (DEQ) Division of Dam Safety has approved the use of Roller Compacted Concrete (RCC) on the downstream face of the dam to meet the new spillway requirement. This method is expensive and will require additional state funds – approximately \$2.4M. However, completion of design and construction is contingent upon completion of a General Assembly directed evaluation of the probable maximum precipitation (PMP) standard upon which the required flood levels are based. The legislature has directed DEQ to complete the evaluation no later than December, 2015. (There are over 30 high hazard dams across the state that are affected by PMP standard.) Design will resume following state guidance on design standards and funding.

**204 – 18004 Improve: Campus Stormwater Infrastructure**

Design Team: Draper Aden

Biennium: 2012-2014

Budget: \$3,391,198

Contractor: TBD

Funding Source: state

Obligated to date: \$255,938

Description: Create a new Stormwater Management Plan to achieve compliance with new state regulations and federal Chesapeake Bay Total Maximum Daily Limit (TMDL) pollutant guidelines. Planning includes inventory of existing stormwater structures, and the identification, prioritization, sequencing, design and construction of projects required to achieve regulatory compliance. The College must achieve a 5% contaminant reduction during 2013 – 2018, 40% during 2019 – 2024 and 100% during 2025 – 2030.

Progress: The new Stormwater Management Plan is complete and responses to DEQ comments have been provided and are awaiting final review and approval. Fees for the design of supporting projects has been negotiated, and design is anticipated to take nine months from inception through permitting. Construction will require approximately twelve (12) months and will be phased, as required, to focus on projects which can be constructed during the academic year without significant impact to campus operations and those which are better executed during the summer sessions.

Board of Visitors

Enclosure       E      

November 18 - 20, 2015

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**204- 18046 Construct: Hixon Experiential Learning Center**

Design Team: VMDO

Biennium: 2014-2016

Budget: \$7,308,000

Contractor: Gilbane Construction

Funding Source: private; CWM debt

Obligated to date: \$1,291,611

Description: The project is a 14,400 gsf "Experiential Learning Center" which will accommodate law practicum / legal clinics and associated courtroom training along with ancillary support space in another north wing addition.

Progress: A building permit was issued in October to enable mobilization and the start of construction during the first week of November. Construction is anticipated to be complete in October, 2016.

**204 – 90005 Construct: Zable Stadium Improvements**

Design Team: BCWH/McMillan, Pazdan & Smith

Biennium: 2014-2016

Budget: \$27,000,000

Contractor: Barton Malow

Funding Source: private/CWM debt

Obligated to Date: \$21,545,684

Description: The project supports renovation and improvements which will include significant expansion of the west stands, improved seating, new accessibility and restroom facilities, a public address system, and code required upgrades.

Progress: Concourse slabs, elevator shaft shells, lower concourse concessions and restroom shells and the north stair tower are complete to the point of enabling the installation of a temporary coach's box in the west stands for the 2015 season. On the east side, the east gate restrooms have been renovated and placed into use, and the new concessions/restroom facility shell located inside the north arcade is in place. All remaining construction to include west stands seating, suites, upper concourse and press box, and the new east stands men's and women's restrooms will be complete prior to the 2016 season.

**0197-001-13 Construct: Plumeri Baseball Practice Facility**

Design Team: Clough Harbor Associates (CHA)

Biennium: 2014-2016

Budget: \$990,881

Contractor: A.R. Chesson

Funding Source: private

Obligated to Date: \$982,086

Description: The project will construct a single story 5,280 gsf indoor baseball training facility along the third base line of Plumeri Park. The pre-engineered building will enclose three batting tunnels and a soft pitch "on deck" area within an all-weather envelope.

Progress: Final report. The facility building was essentially complete at the end of October. Pitching mounds (one permanent and two portable), field turf flooring and safety netting for pitching/hitting practice have been installed. Exterior site work and

landscaping are complete.. A substantial completion inspection is being conducted this week to enable final close-out within the next 30 days.

**204 – 18100-01 Renovate: One Tribe Place Addition**

Design Team: Clark Nexsen

Biennium: 2014–2016

Budget: \$8,000,000

Contractor: Kjellstrom &amp; Lee

Funding Source: CWM debt

Obligated to Date: \$1,281,514

Description: The residential space in the 1984 addition (90 beds) will be renovated in order to remediate moisture infiltration and mold issues, and bring the facility into compliance with current building code.

Progress: Kjellstrom & Lee was selected as the Construction Manager (CM) on 5/1. Selective demolition began on 8/10 and is complete pending final moisture infiltration testing. Design of the follow-on renovation will be complete by the end of 2015. Construction is anticipated to require twelve months with completion scheduled in early 2017.

**204 – 18192 Construct: Integrative Wellness Center**

Design Team: EYP

Biennium: 2016-2018

Budget: \$13,600,000

Contractor: Whiting-Turner

Funding Source: CWM debt/Aux/private funds

Obligated to Date: \$1,201,820

Description: Construct a 28,600 gsf wellness center to house, integrate and enhance the functions of the existing Student Health Center, the Counseling Center (currently in Blow Hall), Health Promotions and select recreational activities (yoga, massage, expressive movement, etc.). The center will promote holistic wellness as a method of proactive health management. The project will replace the existing Lodges (except for the Daily Grind). Upon completion, the existing Health Center will be demolished.

Progress: EYP was selected to design the facility and initiated space programming in October. CM interviews were conducted on 10/7 and 10/8, and Whiting Turner was selected. Design is anticipated to take twelve months followed by twelve to fifteen months for construction, including demolition. Occupancy is anticipated in time for the spring, 2018 semester.

**204 – 18202 Design: West Utility Plant**

Design Team: RMF Engineering

Biennium: 2016-2018

Budget: \$1,328,000

Contractor: TBD

Funding Source: CWM funds

Obligated to Date: \$pending

Description: The new facility will be approximately 11,500 gsf, will initially house three 1200 ton chillers and three 9,900 MBH (million British Thermal Units / hour) and will be sized to accommodate one additional chiller and two boilers in order to replace and centralize existing stand-alone units on west campus as they reach life expectancy. The plant must be on line prior to the enclosure of Phase 1 of the Fine & Performing Arts Complex in order to condition the new space.

Progress: RMF was selected as the design engineer with Lord Aeck Sargent as their supporting architect of record. Completion of preliminary working drawings is anticipated to take six months. The balance of design and construction will begin when authorized by the General Assembly.

**“For the Bold” Capital Campaign Projects****204 – 0042 – 001 - 15 Study: Athletics Practice Facility**

Design Team: Quinn Evans/Sink Combs Dethlefs

Biennium: 2016-2018

Budget: \$106,900

Contractor: TBD

Funding Source: CWM funds

Obligated to Date: \$85,906

Description: Determine a recommended space program and conceptual project budget for the design and construction of an Intercollegiate Athletics Practice Facility adjacent to William & Mary Hall. The sports of basketball (men's and women's), volleyball (women's), and gymnastics (men's and women's) will be accommodated by the proposed practice space. Programming for sports medicine, academic support, NCAA compliance and ticketing will be included subject to space and budget constraints.

Progress: The Preplanning Study was completed over summer 2015. In September, the Design Review Board approved the site for a 45,000 gsf facility, which will attach to the northeast corner of William and Mary Hall immediately across Brooks Street from Recreation Sports. An animation “fly thru” of the proposed facility has been developed to support fund raising.

**204 – 0000 – 005 - 15 Study: Aquatics Center Feasibility**

Design Team: Matthew Burton/Sink Combs Dethlefs Biennium: 2016-2018

Budget: \$59,526

Contractor: TBD

Funding Source: CWM funds

Obligated to Date: \$10,772

Description: Determine a recommended space program and conceptual project budget for the design and construction of an Intercollegiate Athletics Swimming Facility adjacent to William & Mary Hall. The site can support either a "stretch" 25 meter or a full 50 meter pool which can each host swimming and diving. The facility will have restrooms and locker rooms capable of supporting both intercollegiate and community swimming programs. A lobby, swim-meet management space, seating for 250 spectators and associated support space has also been programmed.

Progress: The study started in June and is complete. A presentation which includes proposed siting, recommended space program, conceptual cost estimate and elevations suitable to convey design intent were delivered to the Athletic Director in October. The proposed site selection (attached to the southwest corner of William & Mary Hall) and design intent for the 36,000 gsf facility will be presented at the next Design Review Board meeting.

#### **204 – 0012 – 001 - 15 Study: Alumni House Addition**

Design Team: Glave & Holmes

Biennium: 2016-2018

Budget: \$74,765

Contractor: TBD

Funding Source: CWM funds

Obligated to Date: \$54,465

Description: Determine a recommended space program and conceptual project budget to design and construct an addition to the Alumni House. The addition will augment the existing facility to create a welcome center for Alumni, and provide administrative space for staff elements under University Advancement and Annual Giving. The addition will also provide event space to include dining for 400 seated guests.

Progress: The study started in February 2015 and is complete. The proposed site selection and design intent were presented to the Design Review Board in September and approved. The final report was provided to Advancement in early November.

#### **204-12713 Maintenance Reserve**

Funding Source: VCBA (0817)

2012 -14 Carry Over:	\$1,297,565
2015 Appropriation:	\$1,948,551
<u>2016 Appropriation:</u>	<u>\$2,072,544</u>
<b>Total:</b>	<b>\$5,318,660</b>

<b>Spent to Date</b>	<b>(\$2,422,510)</b>
	<b>\$2,896,150</b>

<b>Remaining Project Commitments</b>	<b>(\$2,552,510)</b>
Maintenance Reserve Fund Balance	<b>\$343,640</b>

**2015 Projects**

## Projects under construction:

- 204 – 15023 Ewell Hall Machine Room

## Projects completed:

- 204 – 00076 – 3 Wren Walkway Repairs
- 204 – 15005 Law School BMP Maintenance
- 204 – 15008 Crim Dell Outfall Repair
- 204 – 15010 Classroom Renovation
- 204 – 15004 Sorority Court Water Line Repair
- 204 – 15006 Lake Matoaka Art Studio Heat Pump Repl
- 204 – 15009 Lake Matoaka Art Studio FA Replacement
- 204 – 15016 Swem Pavilion A Water Proofing Repair
- 204 – 15021 McGlothlin-Street Hall Step Repair

**2016 Projects**

## Projects planned:

- 204 – 15007 Pop Lab AHU / FCU Replacement
- 204 – 15010 Classroom Renovation
- 204 – 15013 Tyler/Blair Sidewalk Repairs
- 204 – 15019 Campus Street Light Conversion to LED
- 204 – 15020 Health Center BMP

## Projects in design:

- 204 – 15002 Yates Lot Storm Runoff Repair
- 204 – 15012 McGlothlin-Street Hall Fire Alarm Repl
- 204 – 15015 Jones Hall Water Line Repair
- 204 – 16003 McGlothlin-Street HE Lab Compressor
- 204 – 16002 Dillard Library Storage HVAC

## Projects completed:

- 204 – 15001 College Apts Roof Repair
- 204 – 16004 Ewell Hall Catwalk

**RESOLUTION TO APPROVE  
EASEMENT FOR NEW TRANSFORMER FOR ZABLE STADIUM  
UNDERGROUND ELECTRIC FACILITIES  
VIRGINIA ELECTRIC AND POWER COMPANY**

**WHEREAS**, the College requests Board of Visitors' approval of the following utility easement for Virginia Electric and Power Company; and

**WHEREAS**, the College and the Commonwealth entered into a 2006 Management Agreement (the "Agreement"), governed by the restructured Higher Education Financial and Administrative Operations Act of 2005, Chapter 4.10 of the Title 23 of the *Code of Virginia*; and

**WHEREAS**, the Agreement was renewed in 2009 and 2013; and

**WHEREAS**, the Agreement authorizes the College's Board of Visitors to approve easements locally; and

**WHEREAS**, Virginia Electric and Power Company requested an easement of right-of-way, fifteen (15') in width, to lay, erect, construct, operate, maintain and repair electric primary (34.5 KV) underground conduits and cables and all equipment, accessories and appurtenances necessary in connection therewith, for the purpose of installing and maintaining underground electric facilities for the new transformer for Zable Stadium (under capital project 204-90005); and

**WHEREAS**, the right-of-way will be outside of the limits of the existing easement (right-of-way), thus requiring the new easement; and

**WHEREAS**, there is no transfer of property involved which would require action by the General Assembly (per Chapter 774, 1995 Acts of Assembly); thus

**THEREFORE, BE IT RESOLVED**, by the Rector and the Board of Visitors of The College of William and Mary in Virginia, that approval is given, in accordance with all authorities, policies, and procedures in force and necessary to accomplish same, for the easement named in the resolution; and that

**FURTHER RESOLVED**, That the Senior Vice President for Finance and Administration and his staff are authorized to prepare and execute any and all necessary documents pertaining to the approval and recordation of such easements in the College's name.

COMMITTEE ON ATHLETICS  
November 19, 2015  
3:15 – 4:00 p.m.  
Board Room – Blow Memorial Hall

H. Thomas Watkins III, Chair  
DeRonda M. Short, Vice Chair

- I. Introductory Remarks – Mr. Watkins
- II. Approval of Minutes – September 17, 2015
- III. Closed Session (if necessary)
- IV. Tribe Club Survey
- V. Events
- VI. Other Business
- VII. Adjourn

COMMITTEE ON ATHLETICS  
MINUTES – SEPTEMBER 17, 2015

**MINUTES**  
**Committee on Athletics**  
**September 17, 2015**  
**Board Room - Blow Memorial Hall**

Attendees: H. Thomas Watkins III, Chair; DeRonda M. Short, Vice Chair, Kendrick F. Ashton, Jr. and Sue H. Gerdelman. Board members present: Rector Todd A. Stottlemyer; Ann Green Baise, Lynn M. Dillon, John E. Littel, Christopher M. Little, William H. Payne II, Lisa Roday, Karen Kennedy Schultz, Robert E. Scott, John Charles Thomas and staff liaison Claire Leatherwood. Others present: President W. Taylor Reveley III, Alumni association President Cindy Jarboe, Virginia M. Ambler, Henry R. Broaddus, Edward C. Driscoll, Jr., Kent B. Erdahl, Michael J. Fox, Samuel E. Jones, Matthew T. Lambert, Deborah A. Love, Jeremy P. Martin, Brian W. Whitson, Sandra J. Wilms and other College staff.

Chair Tom Watkins called the meeting to order at 11:15 a.m., briefly reviewed the agenda, and commented on the visit to Zable Stadium to take part in the topping off ceremony.

Recognizing that a quorum was present, Mr. Watkins asked for a motion to approve the minutes of the April 23, 2015, meeting. Motion was made by Ms. Short, seconded by Ms. Gerdelman and approved by voice vote.

Director of Athletics Terry Driscoll reported on the continuing positive reaction to the Committee on Competitive Excellence report, noting the impact on gifts and admissions. A brief discussion ensued.

Mr. Watkins moved that the Committee on Athletics convene in Closed Session for the purpose of discussing specific recommendations related to fundraising initiatives, priorities and strategies, as provided for in Section 2.2-3711.A.8., of the Code of Virginia. Motion was seconded by Mr. Ashton and approved by voice vote. Observers were asked to leave the room and the Committee went into closed session at 11:23 a.m.

The Committee reconvened in open session at 11:48 a.m. Mr. Watkins reviewed the topic discussed in the closed session and moved the adoption of the **Resolution** certifying the closed session was held in accordance with the Freedom of Information Act. Motion was seconded by Ms. Gerdelman and approved by roll call vote conducted by Secretary to the Board Michael Fox. (Certification **Resolution** is appended.)

Mr. Driscoll reported on the construction of the baseball practice facility at Plumeri Park currently underway. A brief discussion ensued.

Mr. Driscoll then reviewed the NCAA autonomy option, noting that this new set of rules established by the NCAA represents the most substantive change of rules in the history of the organization. Basically, the bigger schools will have more power than ever to determine how they operate, which will at some point mean increased benefits for players. This is an option and not mandated; schools need to vote to participate. William and Mary and the Colonial Athletic Conference have voted not to do this but the issue may have impacts on our programs. President Reveley mentioned his opposition to this option.

Following discussion, and there being no further business, the Committee adjourned at 12:12 p.m. and departed for Zable Stadium.

Committee on Athletics

**Resolution ATH-1**

September 17, 2015

**CERTIFICATION OF CLOSED SESSION**

WHEREAS, the Board of Visitors Committee on Athletics has convened a closed session on this date pursuant to an affirmative recorded vote and in accordance with the provisions of The Virginia Freedom of Information Act; and

WHEREAS, §2.2-3712.D. of the Code of Virginia requires a certification by this Committee that such closed session was conducted in conformity with Virginia law;

NOW, THEREFORE, BE IT RESOLVED, That the Committee on Athletics, reconvening in open session, 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 session to which this certification 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 Committee on Athletics.

**VOTE**

AYES: 4

NAYS: 0

**ABSENT DURING CLOSED SESSION:**



---

H. Thomas Watkins III  
Chair  
Committee on Athletics

COMMITTEE ON FINANCIAL AFFAIRS

November 20, 2015

8:45 – 9:45 a.m.

Board Room - Blow Memorial Hall

Kendrick F. Ashton, Jr., Chair

John E. Littel, Vice Chair

- I. Introductory Remarks - Mr. Ashton
- II. Approval of Minutes - September 18, 2015
- III. Report from Senior Vice President for Finance and Administration Samuel E. Jones
  - A. Continuation: William & Mary Promise. **Resolution 11**.
  - B. Receipt of the Consolidated Financial Report of The College of William and Mary in Virginia and Richard Bland College for the Fiscal Year Ended June 30, 2015 (*joint with Richard Bland College*). **Resolution 12**.
  - C. Receipt of the Financial Report of the Intercollegiate Athletic Department for the Fiscal Year Ended June 30, 2015. **Resolution 13**.
  - D. Peer Comparison: Tuition and Fees.
  - E. State Changes in Optional Retirement Plan for Faculty
  - F. 2015-2016 Operating Budget Summary. Enclosure F.
- IV. Report from Virginia Institute of Marine Science Dean John T. Wells
  - A. 2015-2016 Operating Budget Summary. Enclosure G.
- V. Investment Portfolio Evaluation Overview - Joseph W. Montgomery, Wells Fargo Advisors
  - A. Investment Update for Period Ending September 30, 2015. Enclosure H. (*see separate booklet*)
- VI. Discussion
- VII. Adjourn

COMMITTEE ON FINANCIAL AFFAIRS  
MINUTES – SEPTEMBER 18, 2015

**MINUTES**  
**Committee on Financial Affairs**  
**September 18, 2015**  
**Board Room - Blow Memorial Hall**

Attendees: Kendrick F. Ashton, Jr., Chair; John E. Littel, Vice Chair; Lynn M. Dillon; Thomas R. Frantz; James A. Hixon; Christopher M. Little; Robert E. Scott; H. Thomas Watkins III; and faculty committee representative Eric Chason. Board members present: Rector Todd A. Stottlemyer; Ann Green Baise; Keith S. Fimian; Sue H. Gerdelman; William H. Payne II; Lisa E. Roday; Karen Kennedy Schultz; DeRonda M. Short; John Charles Thomas, student representative Yohance Whitaker, and staff liaison Claire Leatherwood. Others in attendance: President W. Taylor Reveley III; Provost Michael R. Halleran; Henry R. Broaddus; Virginia M. Ambler; Edward C. Driscoll, Jr., Kent B. Erdahl; James R. Golden; Samuel E. Jones; Michael J. Fox; W. Fanchon Glover, President of the Alumni Association Board Cynthia S. Jarboe, Matthew Lambert; Jennifer Latour, University Counsel Deborah A. Love; Jeremy P. Martin; Dean Davison M. Douglas, Virginia Institute of Marine Science Dean and Director John T. Wells; Brian W. Whitson, other College and VIMS staff; and staff from Wells Fargo Advisors, the Board of Visitors' investment consultant.

Chair Kendrick Ashton convened the Committee on Financial Affairs in the Board Room at 9:45 a.m. Recognizing that a quorum was present, Mr. Ashton requested a motion to approve the minutes of the April 24, 2015 meeting. Motion was made by Mr. Watkins, seconded by Mr. Littel and approved by voice vote of the Committee.

Mr. Ashton outlined the items on the agenda, which included the Six-Year Plan resolutions for William and Mary and VIMS, review of the operating budgets, and an update on the Board of Visitors' endowment portfolio.

Mr. Ashton called on T.C. Wilson from Wells Fargo Advisors, the College's investment consultants, to report on investment performance. The value of the Board of Visitors' endowment as of August 31, 2015 was \$77.5 million. For FY 2015, the portfolio gained 2.0%, with the relative underperformance attributable to mid-cap value and small-cap domestic stocks, as well as exposure to emerging market debt.

Senior Vice President Jones presented an overview of the State budget process, highlighting the College's Six-Year Plan submission and approval timeline to SCHEV. The Governor's introduced 2016-18 budget will be presented to the General Assembly on December 17 2015. Mr. Jones reviewed the progress made on the Six-Year Plan which included the William & Mary Promise; improved competitiveness of faculty salaries; met enrollment targets; academic enhancements with a Marine Science minor and eLearning; increased international education opportunities; and improved academic and administrative productivity. Key strategies for 2016-2022 include maintaining the William & Mary Promise; continuing to improve competitiveness of faculty and staff salaries; implementing the COLL curriculum; improving retention and graduation of under-represented populations; engineering and design initiative; expanding and improving eLearning platform; creative adaptation fund; and big data. Incremental funding totals \$11,166,955 for FY 2016-17 and an additional \$12,562,622 for FY 2017-18. The

Committee on Financial Affairs  
MINUTES  
Page 2

following operating budget requests were recommended for submission to the Governor for 2016-18.

	<u><i>FY 2017</i></u>	<u><i>FY 2018</i></u>
Undergraduate Enrollment	\$400,000 GF 4.00 FTE	\$825,000 GF 800 FTE
Improve Retention/Graduation Under-Represented Population	\$325,000 GF 2.00 FTE	\$350,000 GF 2.00 FTE
Engineering & Design Initiative	\$300,000 GF 2.00 FTE	\$500,000 GF 3.00 FTE
eLearning Platform	\$125,000 GF	\$260,000 GF
New Facilities Coming on-Line	\$549,987 GF \$871,168 NGF 3.00 FTE	\$552,472 GF \$875,105 NGF 3.00 FTE

John Wells, Dean and Director of the Virginia Institute of Marine Science, reported on the progress of the Six-Year plan for VIMS, note the receipt of \$500,000 for fish and shellfish surveys; the merger of the High Performance Computing (HPC) unit with W&M's IT department; the outstanding rate of return on 8 new faculty positions; and support of workforce development and economic opportunities stemming from VIMS research. The operating budget requests submitted to the Governor for 2016-18 included an increase in graduate financial aid; creation of the center for sea level rise and coastal resiliency; enhancement of the CB Water Quality model; and modernization of campus information technology.

Mr. Ashton moved approval to adopt the following resolutions as a block: **Resolution 13**, College of William and Mary 2016-2022 Six-Year Plan; **Resolution 14**, College of William and Mary 2016-2018 Operating Budget Requests; **Resolution 15**, Virginia Institute of Marine Science 2016-2022 Six-Year Plan, and **Resolution 16**, Virginia Institute of Marine Science 2016-2018 Operating Budget Requests. Motion was seconded by Mr. Scott and approved by voice vote of the Committee.

There being no further business, the Committee on Financial Affairs adjourned at 10:55 a.m.

## COLLEGE OF WILLIAM AND MARY

### CONTINUATION: WILLIAM & MARY PROMISE

For fiscal year 2017, the administration proposes that the university maintain the William & Mary Promise as the operating model for enhancing and sustaining quality, affordability and access. The tuition structure included in the Promise, in combination with its other elements, provides the University with the resources necessary to implement its Six-year Plan as submitted to the Commonwealth while providing a four-year tuition guarantee for incoming Virginia undergraduates, reducing net tuition for the vast majority of middle-income Virginia families, and reducing the student loan debt burden for these students.

In April, 2013, the Board of Visitors approved **Resolution 25, Approval and Implementation: William and Mary Promise**, setting tuition rates for incoming full-time in-state undergraduate students for fiscal years 2014 through 2016. A review of the program shows that the university has been able to increase applicants and maintain the overall quality of the undergraduate student body while generating the resources necessary to improve faculty and staff salaries and implement other institutional initiatives. Setting FY 2017 tuition for incoming full-time in-state undergraduates now provides prospective Virginia students and their families with tuition information prior to accepting an offer of admission.

Tuition and fees for out-of-state undergraduate as well as in-state and out-of-state graduate and professional students will be set by the Board at its April, 2016 meeting, reflecting any State funding actions and market conditions for each student group.

Revenue generated through William & Mary Promise allows the College to implement the College's Six-year/Strategic Plans. Outside expenditures in support of student aid, revenues generated through the Promise will support a merit-based salary pool for faculty and staff, the College's share of any state-mandated increases in the employer's share of retirement or other benefits, and targeted investment in College programs and activities.

**THEREFORE, BE IT RESOLVED**, That the Board of Visitors of The College of William and Mary in Virginia, on the recommendation of the President, approves continuation of the William & Mary Promise as the operating model for the university, and

**BE IT FURTHER RESOLVED**, That the Board of Visitors of The College of William and Mary in Virginia, on the recommendation of the President, approves the FY 2017 tuition for incoming in-state undergraduates at \$15,674.

Board of Visitors

Resolution 12

November 18-20, 2015

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**COLLEGE OF WILLIAM AND MARY  
RECEIPT OF THE CONSOLIDATED FINANCIAL REPORT OF  
THE COLLEGE OF WILLIAM AND MARY IN VIRGINIA AND  
RICHARD BLAND COLLEGE FOR THE FISCAL YEAR ENDED JUNE 30, 2015**

The Consolidated Financial Report of The College of William and Mary in Virginia and Richard Bland College for the fiscal year ended June 30, 2015, has been presented by the Senior Vice President for Finance and Administration and the Chief Financial Officer to the Presidents of the Colleges, who have approved it for presentation to the Rector and the Board of Visitors.

The statements included in this consolidated Financial Report provide a concise analysis of the College's financial affairs for fiscal year 2014-2015. The report is subject to a detailed audit to be conducted by the Auditor of Public Accounts.

**RESOLVED**, That the Unaudited Consolidated Financial Report for the Year Ended June 30, 2015 (*see separate booklet*) for The College of William and Mary in Virginia and Richard Bland College is hereby received by the Board of Visitors.



# WILLIAM & MARY

CHARTERED 1693

## Unaudited Consolidated Financial Report For The Year Ended June 30, 2015



2014-2015 CONSOLIDATED FINANCIAL REPORT  
FOR  
THE COLLEGE OF WILLIAM AND MARY IN VIRGINIA  
AND  
RICHARD BLAND COLLEGE

November 3, 2015

To the Board of Visitors of the College of William and Mary and Richard Bland College:

We are pleased to submit the following consolidated annual financial report for the College of William and Mary and Richard Bland College for the fiscal year ended June 30, 2015. Financial management has prepared and is responsible for the consolidated financial statements and all information in the financial report. The financial statements have been prepared in conformity with generally accepted accounting principles consistently applied.

The statements contained in this report are intended to provide a picture of the flow of financial resources during the fiscal year 2014-15 and the balances available for the future.

Management believes that the current internal control systems provide reasonable assurance that assets are safeguarded against loss from unauthorized use or disposition, and that the financial records are reliable for preparing financial statements and maintaining accountability for assets. These statements are augmented by written policies and organizational structure providing division of responsibilities, careful selection and training of the financial staff, and a program of internal audits.

The financial statements remain subject to audit by the State Auditor of Public Accounts.

Respectfully submitted,

Samuel E. Jones  
Senior Vice President for Finance  
and Administration  
College of William and Mary

Penelope G. Howard  
Penelope G. Howard, CPA  
Chief Financial Officer  
Richard Bland College

**The College of William and Mary in Virginia  
Richard Bland College**

**June 30, 2015**

**The Board of Visitors**

Todd A. Stottlemyer - Rector  
Robert E. Scott - Vice Rector  
Thomas R. Frantz - Secretary

Kendrick F. Ashton, Jr.  
Ann Green Baise  
Lynn M Dillon  
Keith S. Fimian  
Sue H. Gerdelman  
John E. Littel  
Christopher M. Little  
William H. Payne II  
Leigh A. Pence  
Lisa E. Roday  
DeRonda M. Short  
Peter A. Snyder  
John Charles Thomas  
H. Thomas Watkins III

**Student Representatives**

Colin D. Danly - College of William and Mary  
Kelsey M. Keeley - Richard Bland College

**Faculty Representatives**

Suzanne Raitt - College of William and Mary  
Kevin J. Peters - Richard Bland College

**Staff Liaison**

Nicholas J. Bell – College of William and Mary

**OFFICERS OF ADMINISTRATION**

**The College of William and Mary in Virginia**

W. Taylor Reveley III, President  
Michael R. Halleran, Provost  
Virginia M. Ambler, Vice President for Student Affairs  
Henry R. Broaddus, Vice President for Strategic Initiatives  
Samuel E. Jones, Senior Vice President for Finance and Administration  
Matthew T. Lambert, Vice President for University Advancement

**Richard Bland College**

Debbie L. Sydow, President

**THE COLLEGE OF WILLIAM AND MARY IN VIRGINIA  
RICHARD BLAND COLLEGE**

**ANNUAL FINANCIAL REPORT 2014 - 2015**

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**The College of William and Mary in Virginia  
and Richard Bland College**

**MANAGEMENT'S DISCUSSION AND ANALYSIS**

(Unaudited)

This Management's Discussion and Analysis (MD&A) is a supplement to the College's financial statements designed to assist readers in understanding the financial statement information presented. The following information includes a comparative analysis between the current fiscal year ending June 30, 2015 and the prior year ending June 30, 2014. Significant changes between the two fiscal years and important management decisions are highlighted. The summarized information presented in the MD&A should be reviewed in conjunction with both the financial statements and associated footnotes in order for the reader to have a comprehensive understanding of the College's financial status and results of operations for fiscal year 2015. College management has prepared the MD&A, along with the financial statements and footnotes, and is responsible for all of the information presented.

The College's financial statements have been prepared in accordance with the Governmental Accounting Standards Board (GASB) Statement Number 35, *Basic Financial Statements – and Management's Discussion and Analysis – for Public Colleges and Universities*, as amended by GASB Statement Numbers 37 and 38, and GASB Statement 68 *Accounting and Financial Reporting for Pensions*. Accordingly, the three financial statements required are the Statement of Net Position, the Statement of Revenues, Expenses, and Changes in Net Position, and the Statement of Cash Flows. The aforementioned statements are summarized and analyzed in the MD&A.

The financial statements of the College of William and Mary are consolidated statements that include the College, the Virginia Institute of Marine Science (VIMS) and Richard Bland College (RBC). All three entities are agencies of the Commonwealth of Virginia reporting to the Board of Visitors of the College of William and Mary and are referred to collectively as the "Colleges" within the MD&A as well as in the financial statements under the columns titled "College", unless otherwise indicated.

The College's affiliated foundations are also included in these statements consistent with GASB Statement No. 61, The Financial Reporting Entity: Omnibus. The College has a total of nine foundations, of which the financial information for eight of the foundations is presented in the statements under the column titled "Component Units". While affiliated foundations are not under the direct control of the College's Board of Visitors, this presentation provides a more holistic view of resources available to support the College and its mission. Additional information and detail related to the foundations can be found in the Component Unit Financial Information footnote. The ninth foundation, Intellectual Properties, was established in fiscal year 2008 and is presented blended in the College column as required by GASB 61 because the College has a voting majority of the board.

Financial Summary

Statement of Net Position

The Statement of Net Position provides a snapshot of the College's financial position, specifically the assets, deferred outflows of resources, liabilities, deferred inflows of resources and resulting net position as of June 30, 2015. The information allows the reader to determine the College's assets available for future operations, amounts owed by the College and the categorization of net position as follows:

- (1) Net Investment in Capital Assets – reflects the College's capital assets net of accumulated depreciation and any debt attributable to their acquisition, construction or improvements.
- (2) Restricted – reflects the College's endowment and similar funds whereby the donor has stipulated that the gift or the income from the principal, where the principal is to be preserved, is to be used to support

specific programs of the College. Donor restricted funds are grouped into generally descriptive categories of scholarships, research, departmental uses, etc.

(3) Unrestricted – reflects a broad range of assets available to the College that may be used at the discretion of the Board of Visitors for any lawful purpose in support of the College's primary mission of education, research and public service. These assets are derived from student tuition and fees, state appropriations, indirect cost recoveries from grants and contracts, auxiliary services sales and gifts.

Summary Statement of Net Position

	FY 2015	FY 2014	Dollar Change	Percent Change
<b>Assets:</b>				
Current	\$ 67,449,161	\$ 66,625,898	\$ 823,263	1.24%
Capital, net of accumulated depreciation	798,505,664	756,849,334	41,656,330	5.50%
Other non-current	139,990,529	141,737,180	(1,746,651)	-1.23%
<b>Total assets</b>	<b>1,005,945,354</b>	<b>965,212,412</b>	<b>40,732,942</b>	<b>4.22%</b>
<b>Deferred outflows of resources:</b>				
Pension liability	12,130,339	-	12,130,339	
Loss on refunding of debt	4,755,397	3,541,050	1,214,347	34.3%
<b>Liabilities:</b>				
Current	86,132,923	77,771,250	8,361,673	10.75%
Non-current	353,289,754	365,659,391	(12,369,637)	-3.38%
<b>Total liabilities</b>	<b>439,422,677</b>	<b>443,430,641</b>	<b>(4,007,964)</b>	<b>-0.90%</b>
<b>Deferred inflows of resources:</b>				
Pension liability	18,214,000	-	18,214,000	
Gain on refunding of debt	613,320	18,448	594,872	3224.6%
<b>Net Position:</b>				
Net investment in capital assets	549,612,132	508,841,307	40,770,825	8.01%
Restricted	97,335,611	96,232,164	1,103,447	1.15%
Unrestricted	(82,366,650)	(79,769,098)	(2,597,552)	-3.26%
<b>Total net position</b>	<b>\$564,581,093</b>	<b>\$525,304,373</b>	<b>\$ 39,276,720</b>	<b>7.48%</b>

The overall result of the College's fiscal year 2015 operations was an increase in net position of approximately \$39.3 million or 7.48 percent to \$564.6 million. There was a restatement of beginning net position for fiscal year 2015 due to the implementation of GASB 68 – Accounting and Financial Reporting for Pensions. This restatement resulted in a decrease in unrestricted net position and an increase in non-current liabilities of \$108.4 million for the fiscal year 2014. Deferred inflows and outflows of resources related to pension liability obligations are recorded on the fiscal year 2015 Statement of Net Position for the first time in accordance with the implementation of GASB 68 – Accounting and Financial Reporting for Pensions. The deferred outflows of resources related to pension liability are contributions to the pension plan subsequent to the measurement date of the net pension liability. The measurement date of the net pension liability was June 30, 2014; therefore all fiscal year 2015 contributions to pensions with the Virginia Retirement System are included in deferred outflows of resources. The deferred inflows of resources related to pension liability are the net difference between projected and actual earnings on pension plan investments. Valuations related to the pension liability were provided by the Virginia Retirement System.

The majority of the increase in net position occurred in the categories of net investment in capital assets (\$40.8 million) and restricted (\$1.1 million) net position. These increases were offset slightly by a decrease in

unrestricted net position of \$2.6 million. In addition to the College's net position as shown above, net position for the College's affiliated foundations totaled \$824.2 million.

Total assets increased by \$40.7 million. Capital assets, net of accumulated depreciation, increased by \$41.7 million primarily as a result of construction in progress for projects such as the Integrated Science Center phase III, Chandler Hall renovations, Zable Stadium improvements, One Tribe Place renovations, Tyler Hall renovations and Richard Bland College's Ernst Hall renovations. The increase in deferred outflows of resources is due to the recording of pension liability obligations of \$12.1 million and losses on refundings of notes and bonds payable of \$1.6 million in FY15.

Total liabilities decreased by \$4.0 million. Current liabilities increased by \$8.4 million. The increase was primarily due to accounts payable accruals and the current portion of long term liabilities. The increase in the current portion of long term liabilities is a combination of an increase in the current portion of 9(d) notes payable partially offset by a decrease in the current portion of 9(c) bonds payable, and an increase in the current portion of accrued compensated absences. Non-current liabilities decreased by \$12.4 million. The recording of the net pension liability for GASB 68 represents \$7.0 million of the decrease in non-current liabilities. There were decreases in 9(d) notes payable, installment purchases and RBC's capital lease payable partially offset by an increase in 9(c) bonds payable. The increase in deferred inflows of resources is due to the recording of pension liability obligations of \$18.2 million and gains on refundings of notes and bonds payable of \$0.7 million in FY15.

#### Statement of Revenues, Expenses and Changes in Net Position

The Statement of Revenues, Expenses and Changes in Net Position presents the results from College operations for the fiscal year. Revenues for the daily operation of the College are presented in two categories: operating and non-operating. Operating revenues include the significant categories of tuition and fees, grants and contracts and the sales of auxiliary enterprises representing exchange transactions. Non-operating revenues include the significant categories of state appropriations, gifts and investment income representing non-exchange transactions. Net other revenues include capital appropriations, grants and contributions.

#### Summary Statement of Revenues, Expenses and Changes in Net Position

	<u>FY 2015</u>	<u>FY 2014</u>	<u>Dollar Change</u>	<u>Percent Change</u>
Operating revenues	\$ 307,271,207	\$ 285,387,262	\$ 21,883,945	7.67%
Operating expenses	<u>415,981,223</u>	<u>397,161,235</u>	<u>18,819,988</u>	4.74%
Operating gain/(loss)	(108,710,016)	(111,773,973)	3,063,957	2.74%
Net Non-operating revenues	<u>96,965,665</u>	<u>106,691,095</u>	<u>(9,725,430)</u>	-9.12%
Income/(Loss) before other revenues	(11,744,351)	(5,082,878)	(6,661,473)	-131.06%
Net other revenues	<u>51,021,071</u>	<u>24,060,786</u>	<u>26,960,285</u>	112.05%
Increase in net position	<u>\$ 39,276,720</u>	<u>\$ 18,977,908</u>	<u>\$ 20,298,812</u>	106.96%

Overall, the result from operations was an increase in net position of \$39.3 million. This increase was attributable to increases in all categories of revenues offset by an increase in operating expenses.

The increase in operating revenues was driven primarily by an increase in tuition and fees, grants and contracts as well as auxiliary enterprise. See the following section of Summary of Revenues for further details.

Operating expenses increased notably in two programs; Student Aid and Institutional Support. See the following section of Summary of Expenses for further details.

With the inclusion of state appropriations for the College in the non-operating category, the College will typically display an operating loss for the year.

The following table provides additional details of the operating, non-operating and other revenues of the College.

	<u>Summary of Revenues</u>			Percent Change
	<u>FY2015</u>	<u>FY2014</u>	<u>Dollar Change</u>	
<b>Operating Revenues:</b>				
Student Tuition and Fees, net of scholarship allowances	\$ 158,642,376	\$ 147,464,313	\$ 11,178,063	7.58%
Federal, State, Local and Non-governmental grants and contracts	48,480,782	46,487,452	1,993,330	4.29%
Auxiliary Enterprise, net of scholarship allowances	92,573,756	84,318,803	8,254,953	9.79%
Other	7,574,293	7,116,694	457,599	6.43%
<b>Total Operating Revenues</b>	<b>307,271,207</b>	<b>285,387,262</b>	<b>21,883,945</b>	<b>7.67%</b>
<b>Non-Operating:</b>				
State Appropriations	69,208,059	69,700,225	(492,166)	-0.71%
Gifts, Investment Income and other income and expenses	27,757,606	36,990,870	(9,233,264)	-24.96%
<b>Total Non-Operating</b>	<b>96,965,665</b>	<b>106,691,095</b>	<b>(9,725,430)</b>	<b>-9.12%</b>
<b>Capital Revenues, Gains and (Losses):</b>				
Capital Appropriations	35,796,099	10,249,507	25,546,592	249.25%
Capital Grants and Gifts	15,224,972	13,811,279	1,413,693	10.24%
<b>Total Capital Revenues, Gains and (Losses)</b>	<b>51,021,071</b>	<b>24,060,786</b>	<b>26,960,285</b>	<b>112.05%</b>
<b>Total Revenues</b>	<b>\$ 455,257,943</b>	<b>\$ 416,139,143</b>	<b>\$ 39,118,800</b>	<b>9.40%</b>

Within the operating revenue category, student tuition and fees increased \$11.2 million, net of scholarship allowances. An increase in Federal, Local, and non-governmental grants was offset by a reduction in State funding for research for an overall increase in revenues. The increase in Auxiliary Enterprise revenues is attributable to the Board approved fee increases and increased sales.

Additional details of the operating expenses of the College are summarized below:

<u>Summary of Operating Expenses</u>				
	<u>FY 2015</u>	<u>FY 2014</u>	<u>Dollar Change</u>	<u>Percent Change</u>
Operating Expenses:				
Instruction	\$ 112,452,044	\$ 108,529,748	\$ 3,922,296	3.61%
Research	53,859,353	50,947,278	2,912,075	5.72%
Public Service	75,417	74,104	1,313	1.77%
Academic Support	32,636,011	33,222,378	(586,367)	-1.76%
Student Services	14,118,203	13,242,317	875,886	6.61%
Institutional Support	37,006,880	32,829,051	4,177,829	12.73%
Operation and Maintenance of Plant	23,810,722	24,526,990	(716,268)	-2.92%
Student Aid	33,340,367	29,122,292	4,218,075	14.48%
Auxiliary Enterprise	78,274,049	75,840,679	2,433,370	3.21%
Depreciation	29,381,341	28,231,819	1,149,522	4.07%
Other Operating Expenses	1,026,836	594,579	432,257	72.70%
Total Operating Expenses	<u>\$ 415,981,223</u>	<u>\$ 397,161,235</u>	<u>\$ 18,819,988</u>	<u>4.74%</u>

For fiscal year 2015, operating expenses increased notably in the two programs; Institutional Support and Student Aid. The increase in Institutional Support was due primarily to salaries and benefits, in particular University Advancement salaries due to an increase in the number of staff. Student Aid has grown each year as need continues to rise.

#### Statement of Cash Flows

The Statement of Cash Flows provides detailed information about the College's sources and uses of cash during the fiscal year. Cash flow information is presented in four distinct categories: Operating, Non-capital Financing, Capital Financing and Investing Activities. This statement aids in the assessment of the College's ability to generate cash to meet current and future obligations.

<u>Summary Statement of Cash Flows</u>				
	<u>FY2015</u>	<u>FY 2014</u>	<u>Dollar Change</u>	<u>Percent Change</u>
Cash Flows from:				
Operating Activities	\$ (75,972,180)	\$ (80,778,718)	\$ 4,806,538	5.95%
Non-capital Financing	104,383,531	102,312,358	2,071,173	2.02%
Capital Financing	(32,232,946)	(18,101,790)	(14,131,156)	-78.06%
Investing Activities	(3,447,515)	3,369,927	(6,817,442)	202.30%
Net Increase in Cash	<u>\$ (7,269,110)</u>	<u>\$ 6,801,777</u>	<u>\$ (14,070,887)</u>	<u>206.87%</u>

Cash flow from operations and non-capital financing reflects the sources and uses of cash to support the core mission of the College. The primary sources of cash supporting the core mission of the College in fiscal year 2015 were tuition and fees - \$150.6 million, auxiliary enterprise revenues \$92.5 million, state appropriations - \$69.2 million, and research grants and contracts - \$46.3 million.

The primary uses of operating cash in fiscal year 2015 were payments to employees - \$226.0 million representing salaries, wages and fringe benefits and payments to suppliers of goods and services - \$104.5 million.

Cash flow from capital financing activities reflects the activities associated with the acquisition and construction of capital assets including related debt payments. The primary sources of cash in fiscal year 2015 were capital appropriations - \$33.0 million, capital grants and gifts - \$14.8 million and bond sales - \$12.5 million. The primary uses of cash were for capital expenditures - \$67.9 million and debt payments - \$25.0 million.

The change in cash flows from investing activities is due to market fluctuations.

### Capital Asset and Debt Administration

#### The College of William & Mary

General – Fiscal Year 2015 continued the recovery in design and construction which began in 2013. Programmatically, academic facilities remain the primary focus as the College begins a gradual transition away from construction of new space to renovation/retrofit of existing facilities and supporting infrastructure in order to ensure that the space inventory does not exceed the College's ability to support operation and maintenance of that space. Financially, the funds earned and/or raised to support auxiliary facilities are supporting a larger and larger portion of projects. It should be noted that projects which are currently in progress and which are funded with general funds were approved prior to the 2013 General Assembly which authorized no new projects for the College. Since 2013, two projects, one Education & General and one Auxiliary, have been authorized. Detailed planning (schematic and preliminary design) for the Auxiliary project, however, is being funded by the College with State reimbursement downstream.

Completed Projects – Ten projects are listed as having been placed into service in fiscal year 2015. Nine of the ten were funded with private and/or auxiliary funds. Residual funds in each budget have been used to restore items deleted from project scopes during design and/or to purchase equipment required to optimize facility functionality. These projects will be closed as rapidly as possible.

Projects in Progress – Twenty-seven projects are currently in progress meaning projects which are in design, construction or having open commitments which must be completed and closed.

Design – Four of six projects are Education and General funded projects. The remaining two support auxiliary residence life and dining functions. One of the education and general projects is Hixson Learning Center at Marshall-Wythe Law School. This donor supported project will provide space for legal practice clinics and a practice courtroom. The project will provide real world client representation experience to law students while simultaneously consolidating clinics currently scattered in rental space throughout Williamsburg.

Remaining education and general projects address regulatory shortfalls of existing systems and facilities – specifically accessibility, storm water management, and spillway capacity of the Lake Matoaka earth fill dam. In regard to accessibility, this project will install a ramp, elevator and accessible restrooms in Adair Hall, build wheelchair ramps at two former residential properties acquired by the College, and improve pathways throughout campus. In regard to storm water management, this project will analyze campus storm water compliance with new and emerging State and Federal regulations, design a sequence of projects to achieve compliance and initiate prioritized construction based on the availability of funds. In regard to Lake Matoaka Dam spillway improvement, State dam safety regulations require that high risk dams have the capacity to pass 90% of the flow created by probable maximum precipitation (PMP). The capacity will be created by hardening the downstream face of the dam using roller compacted concrete (RCC) in order to allow passage of flow by overtopping without damage to the earthen embankment.

The auxiliary projects are the Commons Dining renovations and One Tribe Place renovations. The Commons Dining Facility, which is the largest dining facility on campus, has a failing sanitary sewer system

which must be replaced to ensure uninterrupted operations and an air cooled chiller which has reached the end of its useful service life and requires replacement. The One Tribe Place project is the second part of a phased renovation of the Hospitality House Hotel which was acquired by the College and is being converted to dormitory use. Renovation is required to achieve code compliance based on a change of facility use.

Construction – Nine projects are in construction. There are three education and general funded projects. Phase three of the Integrated Science Complex began in July 2014 and will create new instructional space. The facility will provide a consolidated home for the Department of Applied Sciences, space for the residual elements of Biology (which are currently housed in the adjacent Millington Hall), facilities for selected elements of Chemistry and Psychology and a new academic computing center. Key to the facility is creation of interdisciplinary laboratory space to foster increased interdisciplinary research in support of state STEM initiatives. Millington Hall will be demolished following completion of construction in order to reclaim the building site for a future facility. Construction will be complete in summer 2016. Following the transition of Biology from Millington to ISC 3, Millington demolition will commence. Another education and general project is the Tyler Hall renovation. The 1925 era Tyler Hall, last renovated in 1980, will be brought into current code compliance. Simultaneously, building systems, instructional space and technology will be modernized. The third education and general project is phase IV of the Cooling Plant. An “ice plant” will be constructed within the existing centralized cooling plant. The project is significant in that it will enable significant energy cost savings via “peak shaving”. Peak shaving means using the cold the “ice” created by the plant during periods of non-peak power consumption (when power rates are lower) to chill cooling water during periods of peak power demand (when rates are highest). Since annual rates for power are set during the peak fifteen minutes of demand each year, using the ice in lieu of additional power to drive chiller units will allow lower annual rates to be captured. There are three non-general funded projects. Three residence hall, two athletic and one dining project are in progress. Three dormitory umbrella funds which supported twenty projects ranging from HVAC to roof replacement are being completed. Final projects include the renovation of Chandler Hall and the renovation of the 1987 addition at One Tribe Place (formerly the Hospitality House Hotel). Two new facilities, Zable Stadium Improvements and Plumeri Indoor Practice Facility, are in progress. The Zable Stadium project will add 2,630 new seats in a new upper deck on the west stands. The project will also add replacement seating to the lower stands, upper and lower concourses, suites and a press box on the west side. On the east side, existing restrooms will be renovated and new men’s and women’s restrooms provided. The project will be complete in summer 2016. At Plumeri Field, a three lane indoor, all weather pitching and batting facility is being constructed. Completion is scheduled for October, 2015. An aesthetic refresh and rebranding of all campus dining venues was completed as part of a transition of campus food service vendors.

As noted in the 2014 report, the Six Year Plan for 2014 – 2020 initiates a significant transition functionally and fiscally. Functionally, capital projects will feature a shift in focus to support the arts and improve supporting utility infrastructure to include modernization of the central campus communications. Fiscally, the College will rely heavily on internally generated revenues and donor support pending a gradual restoration of state funding during this period of fiscal recovery. The Six Year Plan submission for 2016 – 2022 and future plans will be guided by the 2015 Campus Master Plan which was approved by the Board of Visitors in February 2015.

#### Virginia Institute of Marine Science

The Property Acquisitions have three appropriations for purchasing property at the Gloucester Point and Wachapreague campuses, and for the Virginia Estuarine & Coastal Research Reserve. While there were no property purchases for the Gloucester Point and Wachapreague campuses or for the Virginia Estuarine & Coastal Research Reserve during fiscal year 2015, the appropriations remain open in the event property becomes available in the future.

The Research Vessel project involves the planning and construction of a new custom designed research vessel to replace the R/V Bay Eagle. JMS, a naval architectural firm, has completed the Preliminary Drawings and are currently working on the Contract Drawings of the new vessel.

The Consolidated Scientific Research Facility project involves the planning of a new 32,000 square-foot building to provide research, study, office and technology space for Information Technology, Marine Advisory

Services, Virginia Sea Grant, Center for Coastal Resources Management, and the Publication/Communication Center in a single facility. Moseley Architects has completed the Preliminary Design and are currently performing the Value Engineering Workshop.

The Facilities Management Building project involves the planning of a new 15,000 square-foot modern building to relocate and house Facilities Management administrative offices, maintenance trades shops, automotive and equipment repair garage, grounds keeping, housekeeping, and central shipping and receiving units. RRMM Architects have completed the Schematic Design and are currently completing the Preliminary Design.

#### Richard Bland College

Ernst Hall was opened in 1967 and has not had any major renovations. Its square footage is 33,000. The Bureau of Capital Outlay Management (BCOM) approved a funding report for 9.3 million dollars for the renovation of this campus building. At June 30, 2015, Ernst Hall was on target to be open for fall 2015 classes. We achieved substantial completion on August 28 2015, 2 weeks before the school year started and four months ahead of the original schedule.

In the fall of 2014, the VA Department of Forestry (DOF) created a Forestry Stewardship Plan for the College. Now the College is moving forward with the revitalization and improvement of the 700 acres of woodlands on the campus. The DOF has contracted out the clearing of the 168 diseased acres and this work is complete. In the first week of October 2015 they plan on spraying the area and in February 2016 will replant the entire area with the exception of the corridor

#### Debt Activity

The College's long-term debt is comprised of bonds payable, notes payable, capital lease payable and installment purchases. The bonds payable are Section 9(c) bonds which are general obligation bonds issued and backed by the Commonwealth of Virginia on behalf of the College. These bonds are used to finance capital projects which will produce revenue to repay the debt. The College's notes payable consists of Section 9(d) bonds, which are issued by the Virginia College Building Authority's (VCBA) Pooled Bond Program. These bonds are backed by pledges against the College's general revenues. As of June 30, 2015 the College has outstanding balances for Section 9(c) bonds and Section 9(d) bonds of \$78.6 million and \$161.8 million respectively.

The outstanding balance of 9(c) bonds can be summarized in five major categories as follows: (1) Renovation of Dormitories - \$37.7 million, (2) Commons Dining Hall - \$6.3 million, (3) Other housing / residence - \$4.7 million, (4) New Dormitory - \$22.5 million, and (5) Underground Utility - \$0.4 million. The majority of the 9(d) balance at June 30, 2015 is related to One Tribe Place - \$22.4 million, the Miller Hall School of Business - \$22.3 million, the Barksdale dormitories - \$17.4 million, Cooling Plant - \$19.3 million, Integrated Science Center - \$14.3 million, the Parking Deck - \$7.8 million, Recreation Sports Center - \$6.7 million, Marshall-Wythe Law School Library - \$10.5 million and Expand Sadler Center - \$7.7 million.

#### Economic Outlook

William & Mary's economic health continues to reflect our ability to recruit students, our status as a public institution within the Commonwealth of Virginia's higher education system, our ability to raise revenue through tuition and fees, grants and contracts and private funds, and our ability to reallocate funds to support the university's highest priorities.

William & Mary continues to recruit, admit and retain top-caliber students even as we compete against the most selective public and private institutions in the country. Freshman applications to the university reached a new high of 14,953 for Fall 2015. The credentials of our admitted students remain strong, reflecting the highly selective nature of William & Mary. These statistics, coupled with the university's academic reputation, suggest a strong continuing student demand for the future.

State support for operations is a function of general economic conditions and the priority assigned to higher education among competing demands for Commonwealth resources. Recent years saw some rebound in State funding as Virginia's economy, and revenues, began to recover and higher education became a top priority. On-going pressures on, and competing interest in, State revenues require that we exercise caution in making budget commitments that assume State funding support.

While the future of State funding is uncertain, on-going implementation of the William & Mary Promise will provide William & Mary with incremental tuition revenue over the next several years. These revenues, when combined with increased private support and reallocated funds, allow the university to move forward strategically.

The rebound in endowment value began in fiscal year 2010 and continued through fiscal year 2015. By June 30, 2015, the consolidated value of endowments held by all of the various entities supporting the College and its programs totaled \$811.2 million, a record high for the College. Consistent investment performance by both the Board of Visitors and the College of William and Mary Foundation endowments, combined with increasing gift flow, support endowment growth. The Board of Visitors' endowment and the Foundation's William and Mary Investment Trust, the largest of the College's investment portfolios, remain highly diversified across asset classes.

Relative to private fund raising, for the first time in its history William & Mary raised more than \$100 million in three consecutive years, raising \$105.8 million in gifts and commitments in fiscal year 2015. With more than 16,800 undergraduate alumni donors, an undergraduate alumni giving rate of 27.1%, and increased investment in University Advancement, we expect continued progress in private support for university programs and activities.

Facilities activity remains brisk on campus. On the academic side, the final phase of the Integrated Science Center (ISC3) and the renovation of Tyler Hall are underway. Looking forward, the College completed, and the Board of Visitors approved, an updated master land use plan for the University. Key elements of the plan include expansion and renovation activities to create an "Arts Quarter" on campus, meeting the needs of our fine and performing arts programs. Phase 1 of a three phase improvement plan was submitted to the State for funding consideration.

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## **Consolidated Financial Statements**

**The College of William and Mary in Virginia  
and Richard Bland College - Consolidated Report  
Statement of Net Position  
As of June 30, 2015**

	<b>ASSETS</b>	<b>Colleges</b>	<b>Component Units</b>
Current assets:			
Cash and cash equivalents (Note 3)	\$ 23,260,409	\$ 23,765,108	
Investments (Note 3)	22,250,622	5,256,900	
Appropriation available	818,886	-	
Receivables, net of allowance for doubtful accounts (Note 5)	14,487,836	4,463,983	
Notes receivable (Note 5)	718	-	
Due from commonwealth	4,610,759	-	
Inventories	631,534	12,627	
Pledges receivable	-	9,443,188	
Prepaid expenses	1,167,628	1,764,309	
Other assets	220,769	130,415	
Total current assets	<u>67,449,161</u>	<u>44,836,530</u>	
Non-current assets:			
Restricted cash and cash equivalents (Note 3)	29,211,183	11,778,438	
Restricted investments (Note 3)	91,016,770	609,631,442	
Investments (Note 3)	17,141,442	15,405,563	
Receivables	-	22,714,322	
Notes receivable, net of allowance for doubtful accounts (Note 5)	2,621,134	-	
Pledges receivable	-	18,489,633	
Capital assets, nondepreciable (Note 6)	168,646,474	12,561,871	
Capital assets, depreciable net of accumulated depreciation of \$376,142,667 (Note 6)	629,859,190	16,917,602	
Other assets	-	1,649,445	
Other restricted assets	-	140,312,269	
Total non-current assets	<u>938,496,193</u>	<u>849,460,585</u>	
Total assets	<u>1,005,945,354</u>	<u>894,297,115</u>	
Deferred outflows of resources			
Pension liability	12,130,339		
Loss on refunding of debt	<u>4,755,397</u>		
Total deferred outflows of resources	<u>16,885,736</u>		
Total assets and deferred outflows of resources	<u>1,022,831,090</u>		
	<b>LIABILITIES</b>		
Current liabilities:			
Accounts payable and accrued expenses (Note 7)	41,764,122	6,528,777	
Unearned revenue	12,772,652	451,541	
Deposits held in custody for others	1,738,589	366,121	
Advance from the Treasurer of Virginia (Note 18)	129,092	-	
Obligations under securities lending program	46,201	-	
Long-term liabilities-current portion (Note 9)	29,007,732	1,799,613	
Short term debt	-	1,247,541	
Other liabilities	674,535	-	
Total current liabilities	<u>86,132,923</u>	<u>10,393,593</u>	
Long-term liabilities-non-current portion (Note 9)	<u>353,289,754</u>	<u>59,680,858</u>	
Total liabilities	<u>439,422,677</u>	<u>70,074,451</u>	
Deferred inflows of resources			
Pension liability	18,214,000		
Gain on refunding of debt	<u>613,320</u>		
Total deferred inflows of resources	<u>18,827,320</u>		
Total liabilities and deferred inflows of resources	<u>458,249,997</u>		
	<b>NET POSITION</b>		
Net investment in capital assets	549,612,132	12,347,105	
Restricted for:			
Nonexpendable:			
Scholarships and fellowships	19,111,654	120,413,177	
Research	-	8,857,906	
Loans	-	24,230	
Departmental uses	37,687,638	148,288,635	
Other	-	187,775,068	
Expendable:			
Scholarships and fellowships	9,649,105	97,070,711	
Research	-	4,662,782	
Debt service	1,511,416	-	
Capital projects	1,565,840	20,771,942	
Loans	616,888	72,769	
Departmental uses	27,193,070	148,106,242	
Other	-	25,872,012	
Unrestricted	<u>(82,366,650)</u>	<u>49,960,085</u>	
Total net position	<u>\$ 564,581,093</u>	<u>\$ 824,222,664</u>	

The accompanying Notes to the Financial Statements are an integral part of this statement.

**The College of William and Mary in Virginia  
and Richard Bland College - Consolidated Report  
Statement of Revenues, Expenses and Changes in Net Position  
For the Year Ended June 30, 2015**

		<b>Component Colleges</b>	<b>Component Units</b>
Operating revenues:			
Student tuition and fees, net of scholarship allowances of \$29,768,317	\$ 158,642,376	\$ -	-
Gifts and contributions	-	19,425,423	
Federal grants and contracts	39,147,313	-	
State grants and contracts	2,746,445	-	
Local grants and contracts	219,269	-	
Nongovernmental grants and contracts	6,367,755	-	
Auxiliary enterprises, net of scholarship allowances of \$12,344,620	92,573,756	-	
Other	7,574,293	12,157,379	
 Total operating revenues	 307,271,207	 31,582,802	
Operating expenses: (Note 11)			
Instruction	112,452,044	5,599,307	
Research	53,859,353	944,169	
Public service	75,417	606,234	
Academic support	32,636,011	4,778,781	
Student services	14,118,203	1,414,197	
Institutional support	37,006,880	17,259,169	
Operation and maintenance of plant	23,810,722	954,457	
Student aid	33,340,367	10,539,092	
Auxiliary enterprises	78,274,049	1,012,866	
Depreciation	29,381,341	861,180	
Other	1,026,836	13,254,336	
 Total operating expenses	 415,981,223	 57,223,788	
Operating loss	(108,710,016)	(25,640,986)	
Non-operating revenues/(expenses):			
State appropriations (Note 12)	69,208,059	-	
Gifts	30,665,994	-	
Net investment revenue	1,498,427	26,716,531	
Pell grant revenue	5,411,970	-	
Interest on capital asset related debt	(6,299,351)	(261,451)	
Other non-operating revenue	1,742,314	(5,953,385)	
Other non-operating expense	(5,261,748)	(720,127)	
 Net non-operating revenues	 96,965,665	 19,781,568	
Income/(loss) before other revenues, expenses, gains or losses	(11,744,351)	(5,859,418)	
Capital appropriations	35,796,099	-	
Capital grants and contributions	15,224,972	5,362,993	
Additions to permanent endowments	-	8,848,735	
 Net other revenues, expenses, gains or losses	 51,021,071	 14,211,728	
Increase in net position	39,276,720	8,352,310	
Net position - beginning of year, restated (Note 2)	525,304,373	815,870,354	
Net position - end of year	<u>\$ 564,581,093</u>	<u>\$ 824,222,664</u>	

The accompanying Notes to the Financial Statements are an integral part of this statement.

**The College of William and Mary in Virginia  
and Richard Bland College - Consolidated Report  
Statement of Cash Flows  
For the Year Ended June 30, 2015**

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Cash flows from operating activities:	
Tuition and fees	\$ 150,622,290
Scholarships	(34,191,357)
Research grants and contracts	46,341,663
Auxiliary enterprise charges	92,501,751
Payments to suppliers	(104,479,370)
Payments to employees	(225,969,349)
Payments for operation and maintenance of facilities	(11,652,754)
Loans issued to students and employees	(381,104)
Collection of loans to students and employees	565,327
Other receipts	10,719,339
Other payments	(48,616)
Net cash used by operating activities	<u>(75,972,180)</u>
Cash flows from noncapital financing activities:	
State appropriations	69,208,059
Gifts	30,665,994
Agency receipts	5,896,631
Agency payments	(5,632,845)
Direct Loan receipts	39,773,992
Direct Loan disbursements	(39,773,992)
Other non-operating receipts	9,191,527
Other non-operating disbursements	(4,945,835)
Net cash provided by noncapital financing activities	<u>104,383,531</u>
Cash flows from capital financing activities:	
Proceeds from issuance of capital debt	12,526,609
Capital appropriations	32,977,749
Capital grants and contributions	14,835,764
Advance from the Treasurer of Virginia	129,092
Insurance payments	116,254
Capital expenditures	(67,937,679)
Principal paid on capital-related debt	(16,957,900)
Interest paid on capital-related debt	(7,999,054)
Proceeds from sale of capital assets	76,219
Net cash used by capital and related financing activities	<u>(32,232,946)</u>
Cash flows from investing activities:	
Investment income	1,489,535
Investments	<u>(4,937,050)</u>
Net cash provided by investing activities	<u>(3,447,515)</u>
Net increase/(decrease) in cash	(7,269,110)
Cash-beginning of year*	<u>59,696,115</u>
Cash-end of year	<u>\$ 52,427,005</u>

**The College of William and Mary in Virginia  
and Richard Bland College - Consolidated Report  
Statement of Cash Flows  
For the Year Ended June 30, 2015**

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Reconciliation of Cash-end of year-Cash Flow Statement, to Cash and Cash Equivalents-Statement of Net Position :

Statement of Net Position	
Cash and cash equivalents	\$ 23,260,409
Restricted cash and cash equivalents	29,211,183
Less: Securities lending -Treasurer of Virginia	(44,587)
Net cash and cash equivalents	<u>\$ 52,427,005</u>

Reconciliation of net operating expenses to net cash used by operating activities:

Net operating loss	\$ (108,710,016)
Adjustments to reconcile net operating expenses to cash used by operating activities:	
Depreciation expense	29,381,341
Changes in assets and liabilities:	
Receivables-net	1,138,748
Inventories	(132,315)
Prepaid expense	459,040
Accounts payable	2,823,352
Unearned revenue	(1,093,784)
Deposit held for others	280
Compensated absences	803,242
Pension expense	(927,339)
Other liability	<u>285,271</u>
Net cash used in operating activities	<u>\$ (75,972,180)</u>

**NONCASH INVESTING, NONCAPITAL FINANCING, AND CAPITAL  
AND RELATED FINANCING TRANSACTIONS**

Amortization of a deferred loss	\$ 2,046,642
Donated capital assets	\$ 389,208
Reduction/amortization of bond premium and debt issuance costs	\$ 482,473

The accompanying Notes to Financial Statements are an integral part of this statement.

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**Notes to  
Financial Statements**

**Year Ended June 30, 2015**

# **The College of William and Mary in Virginia and Richard Bland College - Consolidated Report**

## **NOTES TO FINANCIAL STATEMENTS**

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### **1. SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES**

#### Reporting Entity

The College of William and Mary, which includes the Williamsburg campus and the York River campus (Virginia Institute of Marine Science), and Richard Bland College are a part of the Commonwealth of Virginia's statewide system of public higher education. The College's Board of Visitors is appointed by the Governor and is responsible for overseeing governance of the College. The College is a component unit of the Commonwealth of Virginia and is included in the general purpose financial statements of the Commonwealth.

The accompanying financial statements present all funds for which the College's Board of Visitors is financially accountable. Related foundations and similar non-profit corporations for which the College is not financially accountable are also a part of the accompanying financial statements under Governmental Accounting Standards Board (GASB) Statement No. 61, *The Financial Reporting Entity: Omnibus, an amendment of GASB Statements No. 14 and No. 34*. These entities are separately incorporated and the College exercises no control over them. These component units are described in Note 13.

The College has nine component units as defined by GASB Statement 61 – the College of William and Mary Foundation, the Marshall-Wythe School of Law Foundation, the Alumni Association, the Athletic Educational Foundation, the School of Business Foundation, the Virginia Institute of Marine Science Foundation, the Richard Bland College Foundation, the Real Estate Foundation and the Intellectual Property Foundation. These organizations are separately incorporated tax-exempt entities and have been formed to promote the achievements and further the aims and purposes of the College.

Although the University does not control the timing or amount of receipts from the Foundations, the majority of resources or income which the Foundations hold and invest are restricted to the activities of the College by the donors. Because these restricted resources held by the Foundations can only be used by or for the benefit of the College, the Foundations are considered component units of the College and are discretely presented in the financial statements with the exception of the Intellectual Property Foundation. The Intellectual Property Foundation is presented blended in the College column because the College has a voting majority of the governing board of the Foundation.

The College of William and Mary Foundation is a private, not-for-profit corporation organized under the laws of the Commonwealth of Virginia to “aid, strengthen, and expand in every proper and useful way” the work of the College of William and Mary. For additional information on the College of William and Mary Foundation, contact their office at Post Office Box 8795, Williamsburg, Virginia 23187.

The Marshall-Wythe School of Law Foundation is a non-stock, not-for-profit corporation organized under the laws of the Commonwealth of Virginia, established for the purpose of soliciting and receiving gifts to support the College of William and Mary School of Law. The Foundation supports the Law School through the funding of scholarships and fellowships, instruction and research activities, and academic support. For additional information on the Marshall-Wythe School of Law Foundation, contact the Foundation Office at Post Office Box 8795, Williamsburg, Virginia 23187.

The William and Mary Alumni Association is a private, not-for-profit corporation organized under the laws of the Commonwealth of Virginia which provides aid to the College of William and Mary in Virginia in its work, and promotes and strengthens the bonds of interest between and among the College of William and Mary in Virginia and its alumni. For additional information on the Alumni Association, contact the Alumni Association Office at Post Office Box 2100, Williamsburg, Virginia 23187-2100.

The William and Mary Athletic Educational Foundation is a not-for-profit corporation organized under the laws of the Commonwealth of Virginia. The purpose of the Foundation is to promote, foster, encourage and further education, in all enterprises of all kinds at the College of William and Mary Virginia, but it principally supports the Athletic Department of the College. For additional information on the Athletic Educational Foundation, contact the Foundation Office at 751 Ukrop Drive, Williamsburg, Virginia 23187.

The William and Mary Business School Foundation is a non-stock, not-for-profit corporation organized under the laws of the Commonwealth of Virginia. The purpose of the Business School Foundation is to solicit and receive gifts to endow the College of William and Mary School of Business Administration and to support the School through the operations of the Foundation. For additional information on the William and Mary Business School Foundation, contact the Foundation Office at Post Office Box 3023, Williamsburg, Virginia, 23187.

The Virginia Institute of Marine Science Foundation is a not-for-profit corporation organized under the laws of the Commonwealth of Virginia. The purpose of the Foundation is to support the College of William and Mary's Virginia Institute of Marine Science primarily through contributions from the public. For additional information on the Virginia Institute of Marine Science Foundation, contact the Foundation Office at Post Office Box 1346, Gloucester Point, Virginia, 23062.

The Richard Bland College Foundation is a private, not-for-profit corporation organized under the laws of the Commonwealth of Virginia which provides scholarships, financial aid, and books to the College's students, along with support for faculty development and cultural activities. For additional information on the Richard Bland College Foundation, contact the Foundation Office at 11301 Johnson Road, Petersburg, Virginia 23805-7100.

The William and Mary Real Estate Foundation is a nonprofit organization incorporated under the laws of the Commonwealth of Virginia in September 2006. Its purpose is to acquire, hold, manage, sell, lease and participate in the development of real properties in support of the educational goals of the College of William and Mary in Virginia. For additional information on the William and Mary Real Estate Foundation, contact the Foundation Office at Post Office Box 8795, Williamsburg, Virginia, 23187-8795.

The Intellectual Property Foundation is a nonprofit organization incorporated under the laws of the Commonwealth of Virginia in September 2007. Its purpose is to handle all aspects of the intellectual property of the College of William and Mary in Virginia in support of the educational goals of the College. The Intellectual Property Foundation is presented blended with the College because the College has a voting majority of the board. For additional information on the William and Mary Intellectual Property Foundation, contact the Foundation Office at Post Office Box 8795, Williamsburg, Virginia, 23187-8795.

The Omohundro Institute of Early American History and Culture (OIEAHC), sponsored by the College of William and Mary and The Colonial Williamsburg Foundation, is organized exclusively for educational purposes. Its Executive Board, subject to its sponsors, determines matters of policy and has responsibility for financial and general management as well as resource development. The Executive Board consists of six members: the chief education officer of the Colonial Williamsburg Foundation, the chief academic officer of the College of William and Mary, the chairperson of the Institute Council and three who are elected by OIEAHC's Executive Board. Prior to the beginning of each fiscal year, the sponsors determine the nature and extent of their responsibility for the financial support of the OIEAHC in the upcoming year. OIEAHC is treated as a joint venture with the College's portion of support to the Institute blended in the College column on the financial statements. The College contributed \$ 852,906 through direct payment of expenses.

The following summarizes the unaudited financial position of the OIEAHC at June 30, 2015:

Assets	<u>\$ 16,339,109</u>
Liabilities	300,123
Net Assets	<u>16,038,986</u>
Liabilities and Net Assets	<u>\$ 16,339,109</u>

The total unaudited receipts and disbursements of the OIEAHC were \$2,262,213 and \$2,113,413 respectively, for the year ended June 30, 2015. Separate financial statements for the OIEAHC may be obtained by writing the Treasurer, Omohundro Institute of Early American History and Culture, P.O. Box 8781, Williamsburg, Virginia 23187-8781.

#### Basis of Presentation

The accompanying financial statements have been prepared in accordance with generally accepted accounting principles as prescribed by the Governmental Accounting Standards Board (GASB), including all applicable GASB pronouncements. Pursuant to the provisions of GASB Statement No. 34, *Basic Financial Statements – and Management’s Discussion and Analysis – for State and Local Governments*, and Statement No. 35, *Basic Financial Statements - and Management’s Discussion and Analysis - for Public Colleges and Universities*, effective for the years ending on or after June 30, 2002, the full scope of the College’s activities is considered to be a single business-type activity (BTA) and accordingly, is reported within a single column in the basic financial statements.

#### Basis of Accounting

The financial statements of the College have been prepared using the economic resources measurement focus and the accrual basis of accounting, including depreciation expense related to capitalized fixed assets. Under the accrual basis, revenues are recognized when earned, and expenses are recorded when an obligation has been incurred. Bond premiums and discounts are deferred and amortized over the life of the debt. All significant intra-agency transactions have been eliminated.

#### Newly Adopted Accounting Pronouncements

In June 2012, the GASB issued Statement No. 68, Accounting and Financial Reporting for Pensions, effective for the College’s fiscal year beginning July 1, 2014. This statement requires the liability of employers for defined benefit pensions (net pension liability) to be measured as the portion of the present value of projected benefit payments to be provided through the pension plan to current active and inactive employees that is attributed to those employees’ past periods of service (total pension liability), less the amount of the pension plans fiduciary net position.

#### Cash and Cash Equivalents

In accordance with the GASB Statement No. 9, *Reporting Cash Flows of Proprietary and Nonexpendable Trust Funds and Governmental Entities That Use Proprietary Fund Accounting*, definition, cash and cash equivalents consist of cash on hand, money market funds, and temporary highly liquid investments with an original maturity of three months or less.

#### Investments

Investments are recorded at cost or fair market value, if purchased, or fair market value at the date of receipt, if received as a gift, and reported in accordance with GASB Statement No. 31, *Accounting and Financial Reporting for Certain Investments and for External Investment Pools*. (See Note 3.) Realized and unrealized gains and losses are reported in investment income as non-operating revenue in the Statement of Revenues, Expenses, and Changes in Net Position.

#### Receivables

Receivables consist of tuition and fee charges to students and auxiliary enterprises’ sales and services. Receivables also include amounts due from the federal government, state and local governments, or private sources, in connection with reimbursement of allowable expenditures made pursuant to grants and contracts. Receivables are recorded net of estimated uncollectible amounts.

#### Inventories

Inventories at the Williamsburg and York River (Virginia Institute of Marine Science) campuses are reported

using the consumption method, and valued at average cost.

#### Prepaid Expenses

As of June 30, 2015, the Colleges' prepaid expenses included items such as insurance premiums, membership dues, conference registrations and publication subscriptions for fiscal year 2016 that were paid in advance.

#### Capital Assets

Capital assets are recorded at historical cost at the date of acquisition or fair market value at the date of donation in the case of gifts. Construction expenses for capital assets and improvements are capitalized when expended. The College's capitalization policy on equipment includes all items with an estimated useful life of two years or more. All three campuses capitalize all items with a unit price greater than or equal to \$5,000. Library materials for the academic or research libraries are capitalized as a collection and are valued at cost. GASB Statement No. 51, *Accounting and Financial Reporting for Intangible Assets*, requires that all intangible assets not specifically excluded by its scope provisions be classified as capital assets for financial statement periods beginning after June 15, 2009. The Williamsburg and York River campuses capitalize intangible assets with a cost greater than or equal to \$50,000 except for internally generated computer software which is capitalized at a cost of \$100,000 or greater. Richard Bland College capitalizes intangible assets with a cost greater than or equal to \$20,000.

Depreciation is computed using the straight-line method over the estimated useful lives of the respective assets as follows:

Buildings	40-50 years
Infrastructure	10-50 years
Equipment	2-30 years
Library Books	10 years
Intangible Assets – computer software	3-20 years

Collections of works of art and historical treasures are capitalized at cost or fair value at the date of donation. These collections, which include rare books, are considered inexhaustible and therefore are not depreciated.

#### Deferred Outflows of Resources

Deferred outflows of resources are defined as the consumption of net assets applicable to a future reporting period. The deferred outflows of resources have a positive effect on net position similar to assets.

#### Unearned Revenue

Unearned revenue represents revenue collected but not earned as of June 30, 2015. This is primarily comprised of revenue for student tuition paid in advance of the semester, amounts received from grant and contract sponsors that have not yet been earned and advance ticket sales for athletic events.

#### Compensated Absences

Employees' compensated absences are accrued when earned. The liability and expense incurred are recorded at year-end as accrued compensated absences in the Statement of Net Position, and as a component of compensation and benefit expense in the Statement of Revenues, Expenses, and Changes in Net Position. The applicable share of employer related taxes payable on the eventual termination payments is also included.

#### Noncurrent Liabilities

Noncurrent liabilities include principal amounts of bonds payable, notes payable, capital lease payable and installment purchase agreements with contractual maturities greater than one year as well as estimated amounts for accrued compensated absences that will not be paid within the next fiscal year.

## Deferred Inflows of Resources

Deferred inflows of resources are defined as the acquisition of net assets applicable to a future reporting period. The deferred inflows of resources have a negative effect on net position similar to liabilities.

## Net Position

The College's net position is classified as follows:

Net Investment in Capital Assets – consists of total investment in capital assets, net of accumulated depreciation and outstanding debt obligations.

Restricted Net Position – Nonexpendable – includes endowments and similar type assets whose use is limited by donors or other outside sources and as a condition of the gift, the principal is to be maintained in perpetuity.

Restricted Net Position – Expendable – represents funds that have been received for specific purposes and the College is legally or contractually obligated to spend the resources in accordance with restrictions imposed by external parties.

Unrestricted Net Position – represents resources derived from student tuition and fees, state appropriations, unrestricted gifts, interest income, and sales and services of educational departments and auxiliary enterprises. When an expense is incurred that can be paid using either restricted or unrestricted resources, the College's policy is to first apply the expense toward restricted resources, and then toward unrestricted.

## Scholarship Allowances

Student tuition and fee revenues and certain other revenues from charges to students are reported net of scholarship allowances in the Statement of Revenues, Expenses, and Changes in Net Position. Scholarship allowances are the difference between the actual charge for goods and services provided by the College and the amount that is paid by students and/or third parties on the students' behalf. Financial aid to students is reported in the financial statements under the alternative method as prescribed by the National Association of College and University Business Officers (NACUBO). The alternative method is a simple calculation that computes scholarship discounts and allowances on a college-wide basis by allocating the cash payments to students, excluding payments for services, on the ratio of total aid to the aid not considered to be third party aid. Student financial assistance grants and other Federal, State or nongovernmental programs are recorded as either operating or non-operating revenues in the accompanying Statement of Revenues, Expenses, and Changes in Net Position. To the extent that revenues from these programs are used to satisfy tuition, fees, and other charges, the College has recorded a scholarship allowance.

## Federal Financial Assistance Programs

The College participates in federally funded Pell Grants, Supplemental Educational Opportunity Grants (SEOG), Federal Work Study, Perkins Loans, and Direct Loans, which includes Stafford Loans, Parent Loans for Undergraduate Students (PLUS) and Graduate PLUS Loans. Federal programs are audited in accordance with the Single Audit Act Amendments of 1996, the U.S. Office of Management and Budget Revised Circular A-133, Audit of States, Local Governments and Non-Profit Organizations, and the Compliance Supplement.

## Classification of Revenues and Expenses

The College presents its revenues and expenses as operating or non-operating based on the following criteria:

Operating revenues - includes activities that have the characteristics of exchange transactions, such as (1) student tuition and fees, net of scholarship allowances, (2) sales and services of auxiliary enterprises, (3) most Federal, State and Local grants and contracts and (4) interest on student loans.

Non-operating revenues - includes activities that have the characteristics of non-exchange transactions, such as

gifts and contributions, and other revenue sources that are defined as non-operating revenues by GASB Statement No. 9, and GASB Statement No. 34, such as State appropriations and investment income.

Non-operating expenses - includes interest on debt related to the purchase of capital assets and losses on the disposal of capital assets. All other expenses are classified as operating expenses.

## 2. RESTATEMENT OF NET POSITION

Net position as previously reported June 30, 2014	\$ 633,750,373
Implementation of GASB 68 - Accounting and Financial Reporting for Pensions	
The College of William and Mary	(81,329,000)
Virginia Institute of Marine Science	(20,167,000)
Richard Bland College	<u>(6,950,000)</u>
Net position at July 1, 2014	<u>\$ 525,304,373</u>

## 3. CASH, CASH EQUIVALENTS AND INVESTMENTS

### Cash and Cash Equivalents

Pursuant to Section 2.2-1800, et. seq., Code of Virginia, all state funds of the College are maintained by the Treasurer of Virginia, who is responsible for the collection, disbursement, custody and investment of State funds. Cash held by the College is maintained in accounts that are collateralized in accordance with the Virginia Securities for Public Deposits Act, Section 2.2-4400, et. seq. Code of Virginia. The Virginia Security for Public Deposits Act eliminates any custodial credit risk for the College.

### Investments

The investment policy of the College is established by the Board of Visitors and monitored by the Board's Financial Affairs Committee. In accordance with the Board of Visitors' Resolution 6(R), November 16, 2001, Resolution 12(R) November 21-22, 2002, and as updated by the Board in April 2015 investments can be made in the following instruments: cash, U.S. Treasury and Federal agency obligations, commercial bank certificates of deposit, commercial paper, bankers' acceptances, corporate notes and debentures, money market funds, mutual funds, convertible securities and equities.

### Concentration of Credit Risk

Concentration of credit risk requires the disclosure by amount and issuer of any investments in any one issuer that represents five percent or more of total investments. Investments explicitly guaranteed by the U.S. government and investments in mutual funds or external investment pools and other pooled investments are excluded from this requirement. The College's investment policy does not limit the amount invested in U.S. Government or Agency Securities. As of June 30, 2015, the College had 6.3% of its total investments in the Federal National Mortgage Association.

### Custodial Credit Risk

Custodial credit risk is the risk that, in the event of failure of the counterparty, the College will not be able to recover the value of its investment or collateral securities that are in the possession of the outside party. All investments are registered and held in the name of the College and therefore, the College does not have this risk.

### Interest Rate Risk

The interest rate risk is the risk that changes in interest rates will adversely affect the fair value of an investment. The College limits its exposure to interest rate risk by limiting its maximum maturity lengths of investments and structuring its portfolio to maintain adequate liquidity to ensure the College's ability to meet its operating requirements.

### Foreign Currency Risk

Foreign currency risk is the risk that changes in exchange rates will adversely affect the fair value of an investment or a deposit. The College had no investments in foreign currency but had foreign deposits in the amount of \$662,423 as of June 30, 2015.

### Security Lending Transactions

Securities lending transactions represent Richard Bland College's allocated share of securities received for securities lending transactions held in the General Account of the Commonwealth. Loaned securities, for which the collateral is reported on the Statement of Net Position, are non-categorized as to credit risk. Details of the General Account securities lending program are included in the Commonwealth's Comprehensive Annual Financial Report.

### Interest Rate Risk: Maturities

Type of Investment	Fair Value	Less than 1 year	1-5 years	6-10 years	Greater than 10 years
Agency unsecured bonds and notes:					
Federal Home Loan Mortgage Corp	\$ 4,857,871	\$ -	\$ 3,184,064	\$ 1,673,807	\$ -
Federal National Mortgage Assn	10,976,595	1,501,065	4,557,763	4,917,767	-
Commercial Paper	5,899,428	5,899,428	-	-	-
Corporate Bonds	27,283,115	20,259,354	7,023,761	-	-
Fixed Income and Commingled Funds	73,970	-	-	73,970	-
Mutual and money market funds:					
Money market	22,016,264	22,016,264	-	-	-
Mutual funds - Investment Funds	28,584,277	-	-	24,491,719	4,092,558
Mutual funds - Wells Fargo	572,386	572,386	-	-	-
State non-arbitrage program	22,847,247	22,847,247	-	-	-
Securities lending	<u>44,587</u>	<u>44,587</u>	<u>-</u>	<u>-</u>	<u>-</u>
	<u><u>\$ 123,155,740</u></u>	<u><u>\$ 73,140,331</u></u>	<u><u>\$ 14,765,588</u></u>	<u><u>\$ 31,157,263</u></u>	<u><u>\$ 4,092,558</u></u>

## Credit & Concentration of Credit Risks

	Moody's Credit Rating					
	Fair	Aaa	Aa1	Aa2	Aa3	Unrated
<b><u>Cash Equivalents</u></b>						
Certificate of deposit	\$ 130,000	\$ -	\$ -	\$ -	\$ -	\$ 130,000
Money market	22,016,264	-	-	-	-	22,016,264
Commercial Paper	5,899,428	-	-	-	-	5,899,428
State non-arbitrage program	22,847,247	-	-	-	-	22,847,247
Securities lending	44,587	-	-	-	-	44,587
Total cash equivalents	50,937,526	-	-	-	-	50,937,526
<b><u>Investments</u></b>						
Agency unsecured bonds and notes:						
Federal Home Loan Mortgage Corp	\$ 4,857,871	\$ -	\$ -	\$ -	\$ -	\$ 4,857,871
Federal National Mortgage Assn	10,976,595	-	-	-	-	10,976,595
Corporate Bonds	27,283,115	6,082,160.00	6,040,644.00	6,084,650.00	6,039,611.00	3,036,050
Fixed Income and Commingled Funds	73,970	-	-	-	-	73,970
Mutual funds:						
Investment Funds	28,584,277	-	-	-	-	28,584,277
Wells Fargo	196,892	-	-	-	-	196,892
Total investments	\$ 71,972,720	\$ 6,082,160	\$ 6,040,644	\$ 6,084,650	\$ 6,039,611	\$ 47,725,655
<b><u>Other Investments</u></b>						
Other	52,089,191					
Securities lending	1,614					
Rare coins	280					
Property held as investment for endowments	445,600					
Total other investments	52,536,685					
Total cash equivalents and investments	<u>\$ 175,446,931</u>					

## 4. DONOR RESTRICTED ENDOWMENTS

Investments of the College's endowment funds are pooled and consist primarily of gifts and bequests, the use of which is restricted by donor imposed limitations. The Uniform Management of Institutional Funds Act, Code of Virginia Title 55, Chapter 15 sections 268.1-268.10, permits the spending policy adopted by the Board of Visitors to appropriate an amount of realized and unrealized endowment appreciation as the Board determines to be prudent. In determining the amount of appreciation to appropriate, the Board is required by the Act to consider such factors as long- and short-term needs of the institution, present and anticipated financial requirements, expected total return on investments, price level trends, and general economic conditions. The amount available for spending is determined by applying the payout percentage to the average market value of the investment portfolio for the three previous calendar year-ends. The payout percentage is reviewed and adjusted annually as deemed prudent.

The College, at fiscal year-end 2015, had a net appreciation of \$14,486,397 which is available to be spent and is reported in the Statement of Net Position in the following categories: Restricted Expendable for Scholarships and Fellowships - \$7,883,158, Restricted Expendable for Research - \$8,834, Restricted Expendable for Capital Projects - \$198,242, Restricted Expendable for Departmental Uses - \$5,087,599 and Unrestricted - \$1,308,563. The amount for

Research and Capital Projects were reclassified to unrestricted because the total net positions for Restricted Expendable for Research and Restricted Expendable for Capital Projects were negative for the College.

## 5. ACCOUNTS AND NOTES RECEIVABLES

Receivables include transactions related to accounts and notes receivable and are shown net of allowance for doubtful accounts for the year ending June 30, 2015 as follows:

Accounts receivable consisted of the following at June 30, 2015:

Student Tuition and Fees	\$ 2,636,247
Auxiliary Enterprises	1,328,142
Federal, State and Non-Governmental Grants & Contracts	8,131,297
Other Activities	<u>2,393,790</u>
Gross Receivables	14,489,476
Less: allowance for doubtful accounts	<u>(1,640)</u>
Net Receivables	<u><u>\$ 14,487,836</u></u>

Notes receivable consisted of the following at June 30, 2015:

Current portion:	
Federal student loans and promissory notes	<u>\$ 718</u>
Non-current portion:	
Federal student loans and promissory notes	\$ 2,724,086
Less: allowance for doubtful accounts	<u>(102,952)</u>
Net non-current notes receivable	<u><u>\$ 2,621,134</u></u>

## 6. CAPITAL ASSETS

A summary of changes in the various capital asset categories for the year ending June 30, 2015 consists of the following:

	<u>Beginning Balance</u>	<u>Additions</u>	<u>Reductions</u>	<u>Ending Balance</u>
Non-depreciable capital assets:				
Land	\$ 25,314,003	\$ -	\$ -	\$ 25,314,003
Inexhaustible artwork and Historical treasures	74,514,223	454,201	-	74,968,424
Construction in Progress	18,076,787	60,311,674	(10,024,414)	68,364,047
 Total non-depreciable capital assets	 117,905,013	 60,765,875	 (10,024,414)	 168,646,474
Depreciable capital assets:				
Buildings	759,285,718	11,598,728	-	770,884,446
Equipment	71,223,490	5,654,539	(1,091,834)	75,786,195
Infrastructure	76,118,759	1,415,886	-	77,534,645
Other improvements	13,947,511	32,436	-	13,979,947
Library Materials	88,734,711	1,152,912	(374,911)	89,512,712
Computer software	5,690,087	180,000	-	5,870,087
 Total depreciable capital assets	 1,015,000,276	 20,034,501	 (1,466,745)	 1,033,568,032
Less accumulated depreciation for:				
Buildings	209,088,498	19,900,269	(525,253)	228,463,514
Equipment	44,828,281	4,986,037	(828,288)	48,986,030
Infrastructure	30,345,835	2,269,918	-	32,615,753
Other improvements	5,512,204	711,638	-	6,223,842
Library Materials	81,380,352	1,420,213	(374,911)	82,425,654
Computer software	4,900,785	93,264	-	4,994,049
 Total accumulated depreciation	 376,055,955	 29,381,339	 (1,728,452)	 403,708,842
Depreciable capital assets, net	638,944,321	(9,346,838)	261,707	629,859,190
 Total capital assets, net	 \$ 756,849,334	 \$ 51,419,037	 \$ (9,762,707)	 \$ 798,505,664

### Capitalization of Library Books

The methods employed to value the general collections of the Earl Gregg Swem Library, Marshall-Wythe Law Library, VIMS' Hargis Library, and Richard Bland College Library are based on average cost determined by each library. The average cost of the Swem Library for purchases of books was \$43.48 for fiscal year 2015. The average cost of the Law Library purchases of books was \$87.61 for fiscal year 2015. Special collections maintained by each library are

valued at historical cost or acquisition value. The average cost of library books purchased for the Virginia Institute of Marine Science was \$51.44 for fiscal year 2015. The average cost of library books purchased for Richard Bland College was \$15.00 for fiscal year 2015. The changes reflected in the valuation are due to the recognition of depreciation in accordance with GASB Statements No. 34 and 35, as well as purchases, donations and disposals.

#### Impairment of Capital Assets

GASB Statement No. 42, *Accounting and Financial Reporting for Impairment of Capital Assets and for Insurance Recoveries*, was issued effective for the fiscal year ended June 30, 2006. Statement No. 42 requires an evaluation of prominent events or changes in circumstances to determine whether an impairment loss should be recorded and whether any insurance recoveries should be offset against the impairment loss. There were no reported impairments during fiscal year 2015.

Proceeds from other insurance recoveries attributable to capital assets are reported as a capital related financing activity in the Statement of Cash Flows. Accordingly, \$116,253 in proceeds from insurance recoveries is classified as a capital related financing activity.

GASB 42 also requires the disclosure of idle assets at the close of each fiscal year. As of June 30, 2015 there were several vacant or unused buildings on the main William and Mary campus and at the Dillard Complex. The carrying value of these unused buildings at year-end was \$1,651,552. On the VIMS campus, Moxley House was idle and is currently valued at \$96,045.

### 7. ACCOUNTS PAYABLE AND ACCRUED EXPENSES

Accounts payable and accrued expenses consisted of the following at June 30, 2015:

#### Current Liabilities:

Employee salaries, wages, and fringe benefits payable	\$22,307,534
Vendors and supplies accounts payable	8,918,761
Capital projects accounts and retainage payable	11,121,121
Other	<u>(583,294)</u>
Total current liabilities-accounts payable and accrued liabilities	<u>\$41,764,122</u>

### 8. COMMITMENTS

At June 30, 2015, outstanding construction commitments totaled approximately \$126,692,999.

Commitments also exist under various operating leases for buildings, equipment and computer software. In general, the leases are for one to three year terms with renewal options on the buildings, equipment and certain computer software for additional one-year terms. In most cases, these leases will be replaced by similar leases. The College of William and Mary has also entered into one twenty-year lease for space in the Applied Science Research Center Building at the Jefferson Center for Research and Technology in Newport News, Virginia. Rental expense for the fiscal year ending June 30, 2015, was \$5,178,617.

As of June 30, 2015, the following total future minimum rental payments are due under the above leases:

<u>Year Ending June 30, 2015</u>	<u>Amount</u>
2016	\$ 4,627,845
2017	4,498,967
2018	4,253,770
2019	1,740,109
2020	1,776,520
2021 - 2025	<u>2,889,193</u>
<b>Total</b>	<b><u>\$ 19,786,404</u></b>

## 9. LONG-TERM LIABILITIES

The College's long-term liabilities consist of long-term debt (further described in Note 10), and other long-term liabilities. A summary of changes in long-term liabilities for the year ending June 30, 2015 is presented as follows:

	<u>Beginning Balance</u>	<u>Additions</u>	<u>Reductions</u>	<u>Ending Balance</u>	<u>Current Portion</u>
Installment Purchases	\$ 4,402,664	\$ 281,314	\$ (556,410)	\$ 4,127,568	\$ 546,085
Capital Lease Payable	23,044,326	55	(585,530)	22,458,851	610,503
Other long-term obligations	811,731	2	(20,625)	791,108	21,505
Notes Payable	171,342,667	33,858,808	(43,424,681)	161,776,794	13,120,000
Bonds Payable	<u>70,742,633</u>	<u>14,229,878</u>	<u>(6,377,296)</u>	<u>78,595,215</u>	<u>4,698,744</u>
 Total long-term debt	 270,344,021	 48,370,057	 (50,964,542)	 267,749,536	 18,996,837
 Perkins Loan Fund Balance	 2,498,565	 -	 -	 2,498,565	 -
Accrued compensated absences	9,811,143	10,614,386	(9,811,144)	10,614,385	10,010,895
Net Pension Liability	<u>108,446,000</u>	<u>11,203,000</u>	<u>(18,214,000)</u>	<u>101,435,000</u>	<u>-</u>
 Total long-term liabilities	 <u>\$391,099,729</u>	 <u>\$ 70,187,443</u>	 <u>\$ (78,989,686)</u>	 <u>\$382,297,486</u>	 <u>\$29,007,732</u>

## 10. LONG-TERM DEBT

### Bonds Payable

The College of William and Mary's bonds are issued pursuant to Section 9 of Article X of the Constitution of Virginia. Section 9(c) bonds are general obligation bonds issued by the Commonwealth of Virginia on behalf of the College and are backed by the full faith, credit and taxing power of the Commonwealth and are issued to finance capital projects which, when completed, will generate revenue to repay the debt. Listed below are the bonds outstanding at year-end:

<u>Description</u>	<u>Interest Rates(%)</u>	<u>Fiscal year Maturity</u>	<u>Balance as of June 30, 2015</u>
Section 9(c) bonds payable:			
Dormitory, Series 2009C	3.000 - 4.000	2021	\$ 381,550
Dormitory, Series 2009C	3.000 - 4.000	2022	2,259,073
Dormitory, Series 2009D	2.500 - 5.000	2022	1,940,000
Renovate Residence Halls, Series 2010A2	2.000 - 5.000	2030	3,590,000
Dormitory, Series 2012A	3.000 - 5.000	2016	130,155
Dormitory, Series 2012A	3.000 - 5.000	2024	779,720
Dormitory, Series 2013A	2.000 - 5.000	2033	4,345,000
Dormitory, Series 2013B	3.000 - 5.000	2026	1,112,613
Dormitory, Series 2014A	2.000 - 5.000	2034	8,750,000
Dormitory, Series 2014B	2.000 - 5.000	2017	110,935
Dormitory, Series 2014B	2.000 - 5.000	2017	491,941
Dormitory, Series 2014B	2.000 - 5.000	2018	1,297,798
Dormitory, Series 2014B	2.000 - 5.000	2020	1,505,978
Dormitory, Series 2015A	2.000 - 5.000	2035	<u>10,980,000</u>
Renovation of Dormitories			37,674,763
Graduate Housing, Series 2006B	4.000 - 5.000	2016	210,000
Graduate Housing, Series 2008B	3.000 - 5.000	2018	330,000
Graduate Housing, Series 2009D	2.500 - 5.000	2022	1,270,000
Graduate Housing, Series 2013B	3.000 - 5.000	2026	1,411,860
Graduate Housing, Series 2015B	4.000 - 5.000	2028	<u>1,482,414</u>
Graduate Housing			4,704,274
Construct New Dormitory, Series 2010A2	2.000 - 5.000	2030	1,630,000
Construct New Dormitory, Series 2011A	3.000 - 5.000	2031	12,735,000
Construct New Dormitory, Series 2013A	2.000 - 5.000	2033	<u>8,175,000</u>
Construct New Dormitory			22,540,000
Underground Utility, Series 2012A	3.000 - 5.000	2016	120,341
Underground Utility, Series 2014B	2.000 - 5.000	2017	<u>284,665</u>
Underground Utility			405,006
Renovate Commons Dining Hall, Series 2009D	2.500 - 5.000	2022	3,200,000
Renovate Commons Dining Hall, Series 2012A	3.000 - 5.000	2024	1,289,537
Renovate Commons Dining Hall, Series 2013B	3.000 - 5.000	2026	<u>1,831,383</u>
Commons Dining Hall			6,320,920
Total bonds payable			71,644,963
Unamortized premiums (discounts)			<u>6,950,252</u>
Net bonds payable			<u>\$ 78,595,215</u>

## Notes Payable

Section 9(d) bonds, issued through the Virginia College Building Authority's Pooled Bond Program, are backed by pledges against the general revenues of the College and are issued to finance other capital projects. The principal and interest on bonds and notes are payable only from net income of specific auxiliary activities or from designated fee allocations. The following are notes outstanding at year-end:

<u>Description</u>	<u>Interest Rates (%)</u>	<u>Fiscal year Maturity</u>	<u>Outstanding Balance as of June 30, 2015</u>
<b>Section 9(d) Bonds:</b>			
Barksdale Dormitory, Series 2005A	3.500 - 5.000	2016	\$ 625,000
Barksdale Dormitory, Series 2006A	3.000 - 5.000	2027	595,000
Barksdale Dormitory, Series 2010B	2.000 - 5.000	2021	450,000
Barksdale Dormitory, Series 2012A	3.000 - 5.000	2024	555,000
Barksdale Dormitory, Series 2012A	3.000 - 5.000	2025	6,495,000
Barksdale Dormitory, Series 2012A	3.000 - 5.000	2025	6,330,000
Barksdale Dormitory, Series 2014B	4.000 - 5.000	2026	1,605,000
Barksdale Dormitory, Series 2014B	5.000	2024	<u>730,000</u>
Barksdale Dormitory			17,385,000
William and Mary Hall, Series 2007B	4.000- 4.250	2018	165,000
William and Mary Hall, Series 2014B	3.000 - 5.000	2017	<u>285,000</u>
William and Mary Hall			450,000
Parking Deck, Series 2005A	3.500 - 5.000	2016	310,000
Parking Deck, Series 2010B	2.000 - 5.000	2021	950,000
Parking Deck, Series 2012A	3.000 - 5.000	2024	1,170,000
Parking Deck, Series 2012A	3.000 - 5.000	2025	1,385,000
Parking Deck, Series 2012A	3.000 - 5.000	2025	3,140,000
Parking Deck, Series 2014B	4.000 - 5.000	2026	<u>795,000</u>
Parking Deck			7,750,000
Recreation Sports Center, Series 2005A	3.500 - 5.000	2016	120,000
Recreation Sports Center, Series 2010B	2.000 - 5.000	2021	220,000
Recreation Sports Center, Series 2012A	3.000 - 5.000	2024	270,000
Recreation Sports Center, Series 2012A	3.000 - 5.000	2025	4,585,000
Recreation Sports Center, Series 2012A	3.000 - 5.000	2025	1,225,000
Recreation Sports Center, Series 2014B	4.000 - 5.000	2026	<u>310,000</u>
Recreation Sports Center			6,730,000
Improve Athletics Facilities, Series 2005A	3.500 - 5.000	2016	165,000
Improve Athletics Facilities, Series 2006A	3.000 - 5.000	2027	240,000
Improve Athletics Facilities, Series 2012A	3.000 - 5.000	2025	1,655,000
Improve Athletics Facilities, Series 2014B	4.000 - 5.000	2026	425,000
Improve Athletics Facilities, Series 2014B	5.000	2024	280,000
Improve Athletics Facilities II, Series 2013A&B	2.000 - 5.000	2034	<u>1,555,000</u>
Improve Athletics Facilities			4,320,000

<u>Description</u>	<u>Interest Rates (%)</u>	<u>Fiscal year Maturity</u>	<u>Outstanding Balance as of June 30, 2015</u>
Marshall-Wythe Library, Series 2014B	5.000	2020	620,000
Law School Library, Series 2007A	4.500 - 5.000	2028	1,035,000
Law School Library, Series 2010B	2.000 - 5.000	2021	260,000
Law School Library, Series 2012A	3.000 - 5.000	2024	335,000
Law School Library, Series 2014B	4.000 - 5.000	2026	1,640,000
Law School Renovations, Series 2013A&B	2.000 - 5.000	2034	<u>6,605,000</u>
Law School Library			10,495,000
Magnet Facility, Series 2010B	2.000 - 5.000	2021	570,000
Magnet Facility, Series 2012A	3.000 - 5.000	2024	<u>695,000</u>
Magnet Facility			1,265,000
School of Business, Series 2007A	4.500 - 5.000	2028	6,685,000
School of Business, Series 2009A	2.750 - 4.000	2016	5,045,000
School of Business, Series 2014B	4.000 - 5.000	2026	<u>10,575,000</u>
School of Business			22,305,000
Integrated Science Center, Series 2007A	4.500 - 5.000	2028	3,505,000
Integrated Science Center, Series 2009A	2.750 - 5.000	2029	5,295,000
Integrated Science Center, Series 2014B	4.000 - 5.000	2026	<u>5,545,000</u>
Integrated Science Center			14,345,000
Cooling Plant & Utilities, Series 2009B	2.000 - 5.000	2030	9,780,000
Cooling Plant & Utilities, Series 2010A1&A2	2.000 - 5.500	2031	<u>9,550,000</u>
Cooling Plant & Utilities			19,330,000
Power Plant Renovations, Series 2007A	4.500 - 5.000	2028	1,370,000
Power Plant Renovations, Series 2014B	4.500 - 5.000	2026	<u>2,175,000</u>
Power Plant Renovations			3,545,000
Busch Field Astroturf Replacement, Series 2009B	2.000 - 5.000	2030	1,190,000
Williamsburg Hospital/School of Education, 2006A	3.000 - 5.000	2027	750,000
Williamsburg Hospital/School of Education 2014B	5.000	2024	<u>910,000</u>
Williamsburg Hospital/School of Education			1,660,000
J. Laycock Football Facility, Series 2006A	3.000 - 5.000	2027	1,725,000
J. Laycock Football Facility, Series 2014B	5.000	2024	<u>2,100,000</u>
J. Laycock Football Facility			3,825,000
Residence Hall Fire Safety Systems, Series 2006A	3.000 - 5.000	2027	605,000
Residence Hall Fire Safety Systems, Series 2014B	5.000	2024	<u>730,000</u>
Residence Hall Fire Safety Systems			1,335,000
Ash Lawn-Highland Barn, Series 2010A1&A2	2.000 - 5.500	2031	665,000

<u>Description</u>	<u>Interest Rates (%)</u>	<u>Fiscal year Maturity</u>	<u>Outstanding Balance as of June 30, 2015</u>
Expand Sadler Center, Series 2012B	3.000 - 5.000	2033	6,740,000
Expand Sadler Center, Series 2013A&B	2.000 - 5.000	2034	<u>975,000</u>
Sadler Center			7,715,000
One Tribe Place, Series 2013A&B	2.000 - 5.000	2034	22,355,000
Total 9(d) bonds			146,665,000
Unamortized premiums (discounts)			<u>15,111,794</u>
Net notes payable			<u>\$ 161,776,794</u>

#### Installment Purchases

At June 30, 2015, installment purchases consist of the current and long-term portions of obligations resulting from various contracts used to finance energy performance contracts and the acquisition of equipment. The lengths of purchase agreements range from two to fifteen years, and the interest rate charges are from 3.1 to 4.7 percent. The outstanding balance of installment purchases as of June 30, 2015 is \$4,127,568.

#### Capital Lease

Richard Bland College (RBC) has entered into a thirty year capital lease with Richard Bland College Foundation (RBCF) for the provision of a student housing complex with two dormitories on the RBC campus. RBC has accounted for the acquisition of the complex and its furniture and equipment as a capital lease, and therefore has recorded the facility and furnishings as depreciable capital assets and has also recorded a corresponding lease liability in long-term debt on the Statement of Net Position. The outstanding balance as of June 30, 2015 is \$22,458,851. RBC has also recorded an Other Long-Term Obligation which is payable to RBCF for repayment of the bonds for the dormitories for the amount due on the bonds which is greater than the total fair value of assets received. The outstanding balance as of June 30, 2015 is \$791,108.

Long-term debt matures as follows:

<u>Fiscal Year</u>	<u>Principal</u>	<u>Interest</u>	<u>BAB Interest Subsidy</u>	<u>Net Interest</u>
2016	\$ 18,996,837	\$ 10,017,251	\$ 204,644	\$ 9,812,607
2017	14,320,149	9,258,274	202,439	9,055,835
2018	14,375,808	8,589,721	199,877	8,389,844
2019	14,223,086	7,913,911	196,893	7,717,018
2020	14,848,720	7,272,251	189,952	7,082,299
2021-2025	84,262,677	25,817,327	763,179	25,054,148
2026-2030	56,831,790	10,529,757	351,459	10,178,298
2031-2035	23,944,074	2,495,900	7,844	2,488,056
2036-2040	3,884,348	153,752	-	153,752
Unamortized premiums	<u>22,062,046</u>	<u>-</u>	<u>-</u>	<u>-</u>
Total	<u>\$267,749,535</u>	<u>\$ 82,048,144</u>	<u>\$ 2,116,288</u>	<u>\$ 79,931,856</u>

The interest subsidies for the Build America Bonds (BAB) being paid to the College by the Federal Government are subject to change in future years. In the event of a reduction or elimination of the subsidies, the College would be responsible for paying the full interest due on the BAB bonds.

### Defeasance of Debt

In April 2015, the Treasury Board issued General Obligation Refunding Bonds, Series 2015B with a true interest cost (TIC) of 2.263734 percent. The sale of these bonds enabled the College to advance refund certain 9(c) issued bonds including 2008B with interest rates ranging from 4 percent to 5 percent. Also in October of 2014, the Virginia College Building Authority (VCBA) issued Educational Facilities Revenue Refunding Bonds Series 2014B with a TIC of 2.10 percent. The original bonds were used to finance dormitory renovations, dormitory construction, law library renovations, a new parking deck and a new Business School. The net proceeds from the sale of the Refunding Bonds were deposited into irrevocable trusts with escrow agents to provide for all future debt service payments on the refunded bonds. As a result, these bonds are considered defeased and the College's portion of the liability has been removed from the financial statements.

The amount and percentage of debt defeased relating to the College is as follows:

<u>Series</u>	<u>Type</u>	<u>Debt Outstanding</u>	<u>Amount Defeased</u>	<u>Percentage Defeased</u>
2008B	9C	\$ 1,960,000	\$ 1,530,000	78%
2004B	9D	295,000	295,000	100%
2004B	9D	675,000	675,000	100%
2006A	9D	3,995,000	2,270,000	57%
2006A	9D	1,380,000	785,000	57%
2006A	9D	555,000	315,000	57%
2006A	9D	1,730,000	980,000	57%
2006A	9D	1,400,000	795,000	57%
2007A	9D	9,365,000	5,860,000	63%
2007A	9D	17,855,000	11,170,000	63%
2007A	9D	2,765,000	1,730,000	63%
2007A	9D	3,665,000	2,295,000	63%
2005A	9D	1,135,000	825,000	73%
2005A	9D	2,295,000	1,670,000	73%
2005A	9D	440,000	320,000	73%
2005A	9D	610,000	445,000	73%
		<u>\$ 50,120,000</u>	<u>\$ 31,960,000</u>	<u>64%</u>

The College's portion of the accounting loss recognized in the financial statements was \$1,109,448. The net economic gain attributable to the College was \$2,454,558 and will result in a decreased cash flow requirement of \$2,767,397 over the remaining life of the debt.

### Prior Year Defeasance of Debt

The Commonwealth of Virginia, on behalf of the College, issued bonds in previous and current fiscal years for which the proceeds were deposited into irrevocable trusts with escrow agents to provide for all future debt service on the refunded bonds. Accordingly, the trust account assets and the related liability for the defeased bonds are not included in the College's financial statements. At June 30, 2015, \$56,730,000 of the defeased bonds was outstanding.

## 11. EXPENSES BY NATURAL CLASSIFICATIONS

The following table shows a classification of expenses both by function as listed in the Statement of Revenues, Expenses, and Change in Net Position and by natural classification which is the basis for amounts shown in the Statement of Cash Flow.

	Salaries, Wages and Fringe Benefits	Services and Supplies	Scholarships and Fellowships	Plant and Equipment	Depreciation	Total
Instruction	103,299,736	6,670,462	1,403,741	1,078,105	-	112,452,044
Research	36,528,294	14,942,311	1,037,590	1,351,158	-	53,859,353
Public service	34,790	38,333	2,250	44	-	75,417
Academic support	24,293,866	3,438,265	317,929	4,585,951	-	32,636,011
Student services	8,860,138	4,849,670	126,617	281,778	-	14,118,203
Institutional support	31,479,298	4,891,532	332,073	303,977	-	37,006,880
Operation and maintenance of plant	4,794,123	17,562,882	10,418	1,443,299	-	23,810,722
Depreciation	-	-	-	-	29,381,341	29,381,341
Scholarships and related expenses	2,563,622	8,552	30,764,741	3,452	-	33,340,367
Auxiliary enterprises	21,398,304	54,227,347	122,461	2,525,937	-	78,274,049
Other	167,249	559,433	300,154	-	-	1,026,836
<b>Total</b>	<b>233,419,420</b>	<b>107,188,787</b>	<b>34,417,974</b>	<b>11,573,701</b>	<b>29,381,341</b>	<b>415,981,223</b>

## 12. STATE APPROPRIATIONS

The following is a summary of state appropriations received by the College of William and Mary and Richard Bland College, including all supplemental appropriations and reversions from the General Fund of the Commonwealth.

Chapter 665 - 2015 Acts of Assembly (Educational and General Programs)	\$ 64,686,371
Student financial assistance	4,592,931
 Supplemental appropriations:	
Prior year reappropriations	46,522
VIVA libraries	30,193
Marine Science Resources and Environmental Research	117,527
Central Appropriations transfer	1,784,593
Chesapeake Bay Restoration Funds	
Commonwealth Technology Research Award	339,781
Biomedical research	<u>75,000</u>
	2,393,616
 Appropriation reductions:	
VITA costs	24,927
Budget Reductions	2,403,627
Appropriation Act transfers	<u>9,094</u>
	(2,437,648)
Reversions to the General Fund of the Commonwealth	<u>(27,211)</u>
Appropriations as adjusted	<u>\$ 69,208,059</u>

### 13. COMPONENT UNIT FINANCIAL INFORMATION

The College has nine component units – The College of William & Mary Foundation, the Marshall-Wythe School of Law Foundation, the Alumni Association, the William and Mary Athletic Educational Foundation, the William & Mary School of Business Foundation, the Virginia Institute of Marine Science Foundation, the William and Mary Real Estate Foundation, the Richard Bland College Foundation and the Intellectual Property Foundation. These organizations are separately incorporated entities and other auditors examine the related financial statements. Summary financial statements and related disclosures follow for eight of the component units. As stated in Note 1, the activity of the Intellectual Property Foundation is blended with the College beginning in fiscal year 2013; therefore, it is not included in the presentation of component unit financial information.

Summary of Statement of Net Position - Component Units

	The College of William & Mary Foundation	Marshall-Wythe School of Law Foundation	William & Mary Business School Foundation	William & Mary Alumni Association
<b>ASSETS</b>				
Current Assets				
Cash and cash equivalents	\$ 4,263,500	\$ 2,783,337	\$ 3,867,231	\$ 661,204
Investments	5,193,155	-	63,745	-
Pledges receivable, net - current portion	4,430,858	1,152,438	2,741,216	-
Receivables, net	3,158,198	26,502	315,062	22,690
Inventories	-	-	-	12,627
Prepays	1,522,970	100,863	106,652	23,112
Due from the College	-	-	-	-
Other assets	-	-	-	-
Total current assets	<b>18,568,681</b>	<b>4,063,140</b>	<b>7,093,906</b>	<b>719,633</b>
Non-current Assets				
Restricted cash and cash equivalents	4,178,922	3,746,076	2,598,726	-
Restricted investments	529,244,387	31,803,760	33,380,446	-
Restricted other assets	138,397,136	416,678	1,453,716	-
Receivables - long term, net	-	-	-	-
Investments	578,982	4,486,889	-	6,830,052
Pledges receivable, net	8,662,769	1,594,222	7,312,449	-
Capital assets, nondepreciable	9,303,667	321,627	-	-
Capital assets, net of accumulated depreciation	7,149,857	20,850	12,554	121,751
Due from the College	-	-	-	-
Other assets	1,330,866	-	-	-
Total non-current assets	<b>698,846,586</b>	<b>42,390,102</b>	<b>44,757,891</b>	<b>6,951,803</b>
Total Assets	<b>717,415,267</b>	<b>46,453,242</b>	<b>51,851,797</b>	<b>7,671,436</b>
<b>LIABILITIES</b>				
Current Liabilities				
Accounts payable and accrued expenses	407,009	208,158	333,685	90,711
Deferred revenue	39,264	144,193	182,936	85,148
Deposits held in custody for others	346,974	-	19,147	-
Long-term liabilities - current portion	915,948	-	-	-
Due to the College	-	-	5,147,900	18,929
Short-term debt	1,247,541	-	-	-
Other liabilities	-	-	-	-
Total current liabilities	<b>2,956,736</b>	<b>352,351</b>	<b>5,683,668</b>	<b>194,788</b>
Non-current Liabilities				
Other long-term liabilities	405,780	449,214	-	-
Long-term liabilities	28,428,858	-	-	-
Total Liabilities	<b>31,791,374</b>	<b>801,565</b>	<b>5,683,668</b>	<b>194,788</b>
<b>NET POSITION</b>				
Restricted for:				
Nonexpendable:				
Scholarships and fellowships	107,668,828	6,479,008	768,695	-
Research	6,738,171	-	455,900	-
Loans	-	-	24,230	-
Departmental uses	103,867,312	7,511,768	36,909,555	-
Other	183,941,967	-	126,449	-
Expendable:				
Scholarships and fellowships	88,394,890	6,775,859	517,391	-
Research	3,583,312	-	101,877	-
Capital projects	16,365,113	3,975,748	431,081	-
Loans	-	-	72,769	-
Departmental uses	113,720,189	13,155,087	10,836,014	972,910
Other	22,998,844	664,775	57,425	-
Net investment in capital assets	7,168,728	342,477	12,554	121,751
Unrestricted	31,176,539	6,746,955	(4,145,811)	6,381,987
Total net position	<b>\$ 685,623,893</b>	<b>\$ 45,651,677</b>	<b>\$ 46,168,129</b>	<b>\$ 7,476,648</b>

William & Mary Athletic Foundation	Virginia Institute of Educational Foundation	Richard Bland College Foundation	William & Mary Real Estate Foundation	Total Component Units
\$ 6,496,193	\$ 286,361	\$ 325,454	\$ 5,081,828	\$ 23,765,108
-	-	-	-	5,256,900
992,425	126,251	-	-	9,443,188
-	-	-	86,323	3,608,775
-	-	-	-	12,627
-	-	-	10,712	1,764,309
-	-	855,208	-	855,208
-	-	18,915	111,500	130,415
<b>7,488,618</b>	<b>412,612</b>	<b>1,199,577</b>	<b>5,290,363</b>	<b>44,836,530</b>
-	571,757	682,957	-	11,778,438
-	10,746,383	4,456,466	-	609,631,442
-	-	-	44,739	140,312,269
-	-	-	96,372	96,372
2,307,475	1,202,165	-	-	15,405,563
787,383	132,810	-	-	18,489,633
-	-	-	2,936,577	12,561,871
43,895	-	-	9,568,695	16,917,602
-	-	22,617,950	-	22,617,950
-	-	-	318,579	1,649,445
<b>3,138,753</b>	<b>12,653,115</b>	<b>27,757,373</b>	<b>12,964,962</b>	<b>849,460,585</b>
<b>10,627,371</b>	<b>13,065,727</b>	<b>28,956,950</b>	<b>18,255,325</b>	<b>894,297,115</b>
9,100	16,999	232,232	64,054	1,361,948
-	-	-	-	451,541
-	-	-	-	366,121
-	-	632,008	251,657	1,799,613
-	-	-	-	5,166,829
-	-	-	-	1,247,541
-	-	-	-	-
<b>9,100</b>	<b>16,999</b>	<b>864,240</b>	<b>315,711</b>	<b>10,393,593</b>
-	-	-	15,289	870,283
-	-	22,617,950	7,763,767	58,810,575
<b>9,100</b>	<b>16,999</b>	<b>23,482,190</b>	<b>8,094,767</b>	<b>70,074,451</b>
-	2,349,614	3,147,032	-	120,413,177
-	1,663,835	-	-	8,857,906
-	-	-	-	24,230
-	-	-	-	148,288,635
-	3,706,652	-	-	187,775,068
610,437	772,134	-	-	97,070,711
-	977,593	-	-	4,662,782
-	-	-	-	20,771,942
-	-	-	-	72,769
7,381,408	2,040,634	-	-	148,106,242
-	2,338	1,992,391	156,239	25,872,012
43,895	-	-	4,657,700	12,347,105
2,582,531	1,535,928	335,337	5,346,619	49,960,085
<b>\$ 10,618,271</b>	<b>\$ 13,048,728</b>	<b>\$ 5,474,760</b>	<b>\$ 10,160,558</b>	<b>\$ 824,222,664</b>

Summary of Statement of Revenues, Expenses, and Changes in Net Position - Component Units

	The College of William & Mary Foundation	Marshall-Wythe School of Law Foundation	William & Mary Business School Foundation	William & Mary Alumni Association
<b>Operating revenues:</b>				
Gifts and contributions	\$ 6,332,149	\$ 3,410,598	\$ 2,753,451	\$ 911,594
Other	3,749,424	780,900	3,746,136	1,006,656
<b>Total operating revenues</b>	<b>10,081,573</b>	<b>4,191,498</b>	<b>6,499,587</b>	<b>1,918,250</b>
<b>Operating expenses:</b>				
Instruction	3,920,236	1,074,585	524,589	-
Research	239,416	-	119,455	-
Public service	68,624	154,173	374,795	-
Academic support	1,538,476	802,111	2,426,326	-
Student services	109,593	56,022	1,248,582	-
Institutional support	7,077,009	561,650	3,044,584	184,447
Operation and maintenance of plant	578,546	362,356	7,230	-
Scholarships & fellowships	6,983,415	2,969,518	319,716	-
Auxiliary enterprises	653,659	-	60,363	-
Depreciation	511,651	8,513	6,470	27,850
Hospitals	-	-	-	-
Independent operations	-	-	-	-
Other	9,674,986	576,145	78,969	1,564,534
<b>Total operating expenses</b>	<b>31,355,611</b>	<b>6,565,073</b>	<b>8,211,079</b>	<b>1,776,831</b>
<b>Operating gain/(loss)</b>	<b>(21,274,038)</b>	<b>(2,373,575)</b>	<b>(1,711,492)</b>	<b>141,419</b>
<b>Non-operating revenues and expenses:</b>				
Net investment revenue (expense)	23,158,510	1,439,394	1,401,938	32,895
Interest on capital asset related debt	(261,451)	-	-	-
Other non-operating revenue	(5,953,385)	-	-	-
Other non-operating expense	-	-	(720,127)	-
<b>Net non-operating revenues</b>	<b>16,943,674</b>	<b>1,439,394</b>	<b>681,811</b>	<b>32,895</b>
<b>Income before other revenues</b>	<b>(4,330,364)</b>	<b>(934,181)</b>	<b>(1,029,681)</b>	<b>174,314</b>
<b>Other revenues:</b>				
Capital grants and contributions	4,127,489	-	1,235,504	-
Additions to permanent endowments	7,430,786	586,830	384,193	-
Net other revenues	11,558,275	586,830	1,619,697	-
<b>Change in net assets, before transfers</b>	<b>7,227,911</b>	<b>(347,351)</b>	<b>590,016</b>	<b>174,314</b>
<b>Contribution between Foundations</b>	<b>(119,092)</b>	<b>-</b>	<b>-</b>	<b>132,092</b>
<b>Transfers</b>	<b>(119,092)</b>	<b>-</b>	<b>-</b>	<b>132,092</b>
<b>Change in net position</b>	<b>7,108,819</b>	<b>(347,351)</b>	<b>590,016</b>	<b>306,406</b>
<b>Net position - beginning of year</b>	<b>678,515,074</b>	<b>45,999,028</b>	<b>45,578,113</b>	<b>7,170,242</b>
<b>Net position - end of year</b>	<b>\$ 685,623,893</b>	<b>\$ 45,651,677</b>	<b>\$ 46,168,129</b>	<b>\$ 7,476,648</b>

William & Mary Athletic Educational Foundation	Virginia Institute of Marine Science Foundation	Richard Bland College Foundation	William & Mary Real Estate Foundation	Total Component Units
\$ 4,638,357 1,137,409	\$ 728,164 -	\$ 511,110 611,236	\$ 140,000 1,125,618	\$ 19,425,423 12,157,379
<b>5,775,766</b>	<b>728,164</b>	<b>1,122,346</b>	<b>1,265,618</b>	<b>31,582,802</b>
 - 79,897 - 585,298 - 8,642 - 11,868 - - 5,588,480 431,070 - 6,325 - 82,284 - - 23,710 - - - - - - 38,679	 - - - - - - - - 110,474 - - 184,159 - - - - 282,986 - - - - 865,094	 - - - - - - - - 261,455 - - - - 298,844 - - - - - - - - 1,299,214	 - - - - - - - - 17,259,169 954,457 10,539,092 1,012,866 861,180 - - 455,929 - - - - - - 57,223,788	 5,599,307 944,169 606,234 4,778,781 1,414,197 17,259,169 954,457 10,539,092 1,012,866 861,180 - - 455,929 - - - - - - 12,798,407
<b>5,612,190</b>	<b>1,244,063</b>	<b>1,159,727</b>	<b>1,299,214</b>	<b>57,223,788</b>
<b>163,576</b>	<b>(515,899)</b>	<b>(37,381)</b>	<b>(33,596)</b>	<b>(25,640,986)</b>
 45,424 - - - - - - 45,424 209,000  - - - 382,587 - 382,587 209,000 (13,000) (13,000) 196,000 10,422,271  \$ 10,618,271	 495,826 - - - - - - 495,826 (20,073)  - - 382,587 382,587 362,514 - - - - 362,514 12,686,214  \$ 13,048,728	 133,131 - - - - - - 133,131 95,750  - - 64,339 64,339 160,089 - - - - 160,089 5,314,671  \$ 5,474,760	 9,413 - - - - - - 9,413 (24,183)  - - - - - - - - - - - - - - 10,184,741  \$ 10,160,558	 26,716,531 (261,451) (5,953,385) (720,127)  19,781,568  (5,859,418)  5,362,993 8,848,735 14,211,728  8,352,310  - - - - - - - - - - - - - - 815,870,354  \$ 824,222,664

## Investments

Each component unit holds various investments based on the investment policies established by the governing board of the individual foundation. The following table shows the various investment types held by each component unit.

	The College of William & Mary Foundation	Marshall-Wythe School of Law Foundation	William & Mary Business School Foundation	William & Mary Alumni Association	Athletic Educational Foundation	Virginia Institute of Marine Science Foundation	Richard Bland College Foundation	Total
Mutual and money market funds	\$ 4,833,481	\$ 766,456	\$ -	\$ 1,439,676	\$ 16,659	\$ -	\$ 3,684,757	\$ 10,741,029
U.S. treasury and agency securities	26,509,210	-	-	-	-	-	-	26,509,210
Common and preferred stocks	328,558	-	678,844	5,390,376	-	-	771,709	7,169,487
Notes receivable	2,925,000	-	-	-	-	-	-	2,925,000
Pooled investments	498,772,779	35,524,193	32,263,689	-	-	11,948,548	-	578,509,209
Real estate	987,983	-	-	-	35,000	-	-	1,022,983
Other	659,513	-	501,658	-	2,255,816	-	-	3,416,987
Total								
Investments	<u>\$ 535,016,524</u>	<u>\$ 36,290,649</u>	<u>\$ 33,444,191</u>	<u>\$ 6,830,052</u>	<u>\$ 2,307,475</u>	<u>\$ 11,948,548</u>	<u>\$ 4,456,466</u>	<u>\$ 630,293,905</u>

## Pledges Receivable

Unconditional promises to give (pledges) are recorded as receivables and revenues and are assigned net asset categories in accordance with donor imposed restrictions. Pledges expected to be collected within one year are recorded at net realizable value. Pledges that are expected to be collected in future years are recorded at net present value of their estimated future cash flows. The discounts on these amounts are computed using risk free interest rates applicable to the years in which the payments will be received. The foundations record an allowance against pledges receivable for estimated uncollectible amounts. The William and Mary Alumni Association, the Richard Bland Foundation, and the William & Mary Real Estate Foundation did not have any pledges receivable at year end.

	The College of William & Mary Foundation	Marshall- Wythe School of Law Foundation	William & Mary Business School Foundation	William & Mary Athletic Educational Foundation	Virginia Institute of Marine Science Foundation	Total
Total pledges receivable	\$ 14,033,518	\$ 3,083,707	\$ 10,779,712	\$ 2,399,571	\$ 262,401	\$ 30,558,909
Less:						
Allowance for uncollectibles	(283,964)	(111,778)	(625,488)	(88,581)	(3,340)	(1,113,151)
Discounting to present value	(655,927)	(225,269)	(100,559)	(531,182)	-	(1,512,937)
Net pledges receivable	13,093,627	2,746,660	10,053,665	1,779,808	259,061	27,932,821
Less:						
Current pledges receivable	(4,430,858)	(1,152,438)	(2,741,216)	(992,425)	(126,251)	(9,443,188)
Total non-current pledges receivable	<u>\$ 8,662,769</u>	<u>\$ 1,594,222</u>	<u>\$ 7,312,449</u>	<u>\$ 787,383</u>	<u>\$ 132,810</u>	<u>\$ 18,489,633</u>

## Capital Assets

	Marshall-		William & Mary				
	The College of William & Mary Foundation	Wythe School of Law Foundation	William & Mary Business School Foundation	William & Mary Alumni Association	Athletic Educational Foundation	William & Mary Real Estate Foundation	Total
Nondepreciable:							
Land	\$ 3,365,927	\$ 262,916	\$ -	\$ -	\$ -	\$ 2,936,577	\$ 6,565,420
Historical treasures and inexhaustable works of art	<u>5,937,740</u>	<u>58,711</u>	<u>-</u>	<u>-</u>	<u>-</u>	<u>-</u>	<u>5,996,451</u>
Total nondepreciable capital assets	<u><u>\$ 9,303,667</u></u>	<u><u>\$ 321,627</u></u>	<u><u>\$ -</u></u>	<u><u>\$ -</u></u>	<u><u>\$ -</u></u>	<u><u>\$ 2,936,577</u></u>	<u><u>\$ 12,561,871</u></u>
Depreciable:							
Building	\$ 7,418,334	\$ -	\$ -	\$ 384,914	\$ -	\$ 10,360,462	\$ 18,163,710
Equipment, vehicles and furniture	7,229,926	108,945	109,657	449,791	118,556	180,184	8,197,059
Improvements, other than building	<u>338,138</u>	<u>-</u>	<u>-</u>	<u>-</u>	<u>-</u>	<u>-</u>	<u>338,138</u>
	<u>14,986,398</u>	<u>108,945</u>	<u>109,657</u>	<u>834,705</u>	<u>118,556</u>	<u>10,540,646</u>	<u>26,698,907</u>
Less accumulated depreciation	<u>(7,836,541)</u>	<u>(88,095)</u>	<u>(97,103)</u>	<u>(712,954)</u>	<u>(74,661)</u>	<u>(971,951)</u>	<u>(9,781,305)</u>
Total depreciable capital assets	<u><u>\$ 7,149,857</u></u>	<u><u>\$ 20,850</u></u>	<u><u>\$ 12,554</u></u>	<u><u>\$ 121,751</u></u>	<u><u>\$ 43,895</u></u>	<u><u>\$ 9,568,695</u></u>	<u><u>\$ 16,917,602</u></u>

## Long-term Liabilities

	William &			
	The College of William & Mary Foundation	Richard Bland College Foundation	Mary Real Estate Foundation	
			Total	
Compensated absences	\$ 114,326	\$ -	\$ -	\$ 114,326
Notes payable	2,045,487	-	3,498,713	5,544,200
Bonds payable	8,090,000	23,249,958	4,516,711	35,856,669
Trust & Annuity Obligations	3,118,014	-	-	
Other liabilities	<u>15,976,979</u>	<u>-</u>	<u>-</u>	<u>15,976,979</u>
Total long-term liabilities	29,344,806	23,249,958	8,015,424	57,492,174
Less current portion	<u>(915,948)</u>	<u>(632,008)</u>	<u>(251,657)</u>	<u>(1,799,613)</u>
Total long-term liabilities	<u><u>\$ 28,428,858</u></u>	<u><u>\$ 22,617,950</u></u>	<u><u>\$ 7,763,767</u></u>	<u><u>\$ 58,810,575</u></u>

## THE COLLEGE OF WILLIAM AND MARY FOUNDATION

### Long-term Liabilities

On June 25, 2001, Reliance entered into a revolving line of credit agreement with First Union National Bank (now Wells Fargo Bank, NA) in the amount of \$2,000,000, which the Foundation guaranteed. The purpose of the line of credit was to fund the initial purchase of the real estate sold to New Town Associates, and to provide working capital to Reliance. As such, most of the loan proceeds have in turn been advanced to the REF, and the majority of the interest on the note is reflected as expenses of the REF. The line of credit has been increased to \$3,000,000 with all principal and accrued interest due and payable on June 29, 2014. On June 29, 2014 the amount available under the line of credit was reduced to \$2,145,000 and the due date was extended to June 29, 2015. On June 29, 2015, the total amount available under the line of credit was reduced to \$1,300,000 and the due date was extended to June 29, 2016. Interest only, which accrues daily at the one month LIBOR Market Index Rate plus 1.35%, is payable monthly. The amount outstanding was \$1,247,541 at June 30, 2015 and \$2,145,000 at June 30, 2014. Interest paid during the years ended June 30, 2015 and 2014, was \$28,022 and \$35,343, respectively.

During the fiscal year ended June 30, 2009, the Foundation entered into a borrowing arrangement with SunTrust Bank in the amount of \$2,636,140 for renovation of the College's Admissions Office. The terms of the loan were revised during the fiscal year ended June 30, 2011. Under the revised terms, interest accrues at a rate of 4.99% and is payable monthly. Principal is payable annually over a ten year term, with the final amount due on February 1, 2021. SunTrust is granted a security interest in all deposits and investments maintained with SunTrust and any of its affiliates. The terms of the note require the Foundation to maintain at all times unrestricted and temporarily restricted net assets in excess of 200% of the Foundation's total funded debt. The balance outstanding at June 30, 2015 and 2014 was \$1,732,487 and \$1,975,148, respectively. Interest paid during the fiscal years ended June 30, 2015 and 2014, on the loans was \$95,892 and \$107,778, respectively.

During the year ended June 30, 2011, the Foundation and CEI entered into a joint borrowing arrangement with SunTrust Bank to fund expansion of the telecommunications system. The agreement provided for loan draws up to the amount of \$1,450,000 through August 7, 2011. The terms of the note require the Foundation to maintain at all times unrestricted and temporarily restricted net assets in excess of 200% of the Foundation's total funded debt. Interest at a rate of 3.97% is payable monthly. Principal is payable annually over a five year term, with the final amount due January 15, 2016. SunTrust is granted a security interest in all deposits and investments maintained with SunTrust and any of its affiliates. The balance outstanding at June 30, 2015 and 2014 was \$313,000 and \$615,000, respectively. Interest paid during the fiscal years ended June 30, 2015 and 2014, on the loans was \$18,661 and \$31,575, respectively.

In December 2011, the Foundation and CWMF Ventures entered into a joint borrowing arrangement with SunTrust Bank to fund certain costs of unwinding the interest rate swap and various costs associated with refinancing the variable rate bonds. The note was paid in full in June 2014. Interest accrued at a rate of 3.73%. Payments of interest and principal are due quarterly, with the final payment due December 23, 2021. SunTrust is granted a security interest in all deposits and investments maintained with SunTrust and any of its affiliates. The terms of the note require the Foundation to maintain at all times unrestricted and temporarily restricted net assets in excess of 200% of the Foundation's total funded debt. The balance outstanding at June 30, 2015 and 2014 was \$0. Interest paid during the fiscal year ended June 30, 2015 and 2014 was \$0 and \$19,333, respectively.

The Foundation and its affiliated are in compliance with all debt covenants.

### Bonds Payable

In December 2011, the Economic Development Authority of James City County, Virginia ("Authority") issued a revenue refunding bond in the amount of \$8,090,000 ("Series 2011 Bond"), and loaned the proceeds to the Foundation and CWMF Ventures ("Obligors"). The Series 2011 Bond was acquired by SunTrust Bank, as Series 2011 Bondholder. Proceeds from sale of the Series 2011 Bond were used to redeem bonds issued in December 2006 by the Authority to finance the cost of property acquisition, construction and equipping of a three-story building in New Town in James City County, Virginia, for use by the Foundation, CWMF Venture or the College. The Series 2011 Bond bears interest at a fixed rate of 2.96% per annum, subject to the put rights of the Series 2011 Bondholder as described below, and interest payments are due quarterly on each January 1, April 1, July 1 and October 1. The Series 2011 Bondholder has the option

to tender the Series 2011 Bond for payment on December 1, 2021, the first optional put date, unless extended under the terms of the loan agreement to not earlier than December 1, 2026. An additional extension may be made to not earlier than December 1, 2031. The Obligors are required to maintain assets so that on each June 30, unrestricted and temporarily restricted net assets shall exceed 200% of the total funded debt. The face value of Series 2011 Bonds outstanding at June 30, 2015 and 2014, was \$8,090,000. Interest paid on the Series 2011 Bonds during the fiscal years ended June 30, 2015 and 2014 was \$242,790.

The Foundation is in compliance with all bond covenants.

#### Commitments and Contingencies

During the fiscal year ended June 30, 2012 New Town Associates entered into a financing arrangement, with Chesapeake Bank. The agreement is a \$3,000,000 line of credit available for the issuance of loans and letters of credit, and is secured by a lien on New Town Associates' commercial land and improvements, as well as the assignment of rents, profits and leases. This facility bears an interest rate of 5.5%, and matures November 22, 2015. The Foundation guarantees 50% of the balance of the Chesapeake facility, not to exceed \$1,500,000. As of June 30, 2015 and 2014 the principal amount outstanding under this note was \$0. Letters of credit outstanding under this facility totaled \$0 at June 30, 2015 and 2014. No draws had been made on the letters of credit as of June 30, 2015.

### MARSHALL-WYTHE SCHOOL OF LAW FOUNDATION

#### Law Library Bond Issuance

The construction and renovations of the Wolf Law Library at the Marshall-Wythe School of Law were funded by proceeds allocated to the Marshall-Wythe School of Law from the College of William & Mary's 2007A(9D) Bond Issue ("Bond"). The Foundation makes principal and interest payments to the College on the Bond using private contributions restricted for the Law Library addition. However, the Bond was issued to and in the name of the College, and the Foundation is not obligated to make these debt service payments.

Bond payments made to the College totaled \$362,356, including principal and interest, in 2015 and are included in law school bond payments on the Foundation's statement of activities.

### WILLIAM AND MARY BUSINESS SCHOOL FOUNDATION

#### Commitments and Contingencies

On January 31, 2007, the Foundation entered into a Development Agreement and a Reimbursement Agreement (Agreements) with the College of William and Mary (College), in connection with the construction and equipping of a new academic building, Alan B. Miller Hall, for the College's Raymond A. Mason School of Business (Project). The total cost of the Project was approximately \$75 million. In order to finance the cost of construction and equipping the building, two bond series were issued by the College - 2007 Series A bonds for \$23,350,000, and 2009 Series A bonds for \$23,350,000.

By the terms of the bond issue, the Foundation has no direct obligation for payment of the 2007 Series A bonds. By the terms of the Reimbursement Agreement, the Foundation must reimburse the College for all debt service due on the 2009 Series A bonds and all related fees due and payable with respect to the bonds after their issuance. In addition, the Foundation has pledged as security for the payments all of its assets that are not subject to donor or other legal restrictions, as defined in the Reimbursement Agreement.

The payments required under the Reimbursement Agreement constitute an unconditional promise to give to the College. A liability was recorded for the present value of the principal and interest to be paid to the College. The Foundation paid to the College \$288,418 in interest payments and \$4,860,000 in principle during 2015. The difference of \$692,478 between the total cash paid to the College of \$5,148,418 in 2015 and the recorded liability represents the

change in the present value discount. This amount was shown as an additional transfer to the College on the 2015 statement of activities. The final payment of \$5,147,900 was paid to the College in August 2015.

The Foundation is primarily using funds from donations that were specifically designated for the repayment of the 2009 Series A Bonds to reimburse the College for the debt service on these bonds. Due to the timing of the collections of donations and pledge payments, the Foundation's Executive Committee authorized the borrowing of temporarily restricted funds held in WAMIT in the amount of \$1,330,000 on July 8, 2015 in order to provide the necessary liquidity to make the final payment to the College in August of 2015 related to the construction of Alan B. Miller Hall. These funds will be repaid to the temporarily restricted funds as related pledge payments are collected.

#### RICHARD BLAND COLLEGE FOUNDATION, INC.

##### Bonds Payable

During December 2006, the Foundation entered into loan agreements with the Industrial Development Authorities of Dinwiddie County, Virginia, Isle of Wight, Virginia, Prince George County, Virginia and Sussex County, Virginia to borrow the proceeds of the Authorities' \$27,000,000 Series 2006 Revenue Bonds (Richard Bland College Foundation Student Housing Facilities). The loan was refinanced in October 2012 to lower the interest rate charged to the Foundation. The loan agreement interest rate was 4.23% and refinanced to 2.40010. The interest rate will adjust at the ten year anniversary of the refinancing and every 5 years thereafter at 70010 of the 5-year U. S. Treasury Note plus 120 basis points. The bonds are due August 5, 2038. The primary purpose of this loan is to refund and redeem in full the outstanding principal amount of the Authorities' \$27,000,000 Series 2006 Revenue Bonds (Richard Bland College Foundation Student Housing Facilities), the proceeds of which were used to finance the costs of construction and equipping of a student housing facility located in Dinwiddie, Virginia.

##### Investment in Direct Financing Lease

The Foundation has an investment in a direct financing lease in connection with its long-term leasing arrangement with the College. The terms of the lease include the leasing of a student housing facility located in Dinwiddie, Virginia originally constructed by the Foundation for the College. The lease is due in semi-annual installments and expires in August 2038.

#### WILLIAM & MARY REAL ESTATE FOUNDATION

##### Tribe Square

The Foundation develops and owns a mixed use property known as Tribe Square, which consists of one floor retail space and two floors student housing. Construction was completed and the building was put into service during 2012. The Foundation is party to a commercial management agreement dated December 6, 2010 with an agent to manage the property on behalf of the Foundation. The agreement is for a one-year term ending July 31, 2012, and continuing on an annual basis unless and until terminated by either party. The services to be provided by the agent include the operation and maintenance of the property, as well as financial duties as defined in the agreement. The management fee paid to the agent will be \$20,940 per annum. The Foundation has executed three lease agreements for tenants in the first floor retail area, which is 75% occupied as of June 30, 2015. The student housing space is being leased to the College.

The Foundation leases the Tribe Square student housing to the College pursuant to a lease agreement dated August 1, 2011 for a five-year term ending June 30, 2016, with an automatic renewal for an additional five year term ending on June 30, 2021. Annual base rent is \$459,816, payable in two equal installments, with the first installment due on the commencement date, and each semi-annual installment thereafter due on September 1 and March 1 of each lease year. The base rent may be increased annually by a percentage equal to the increase in the Consumer Price Index. In no event shall the base rent be less than the base rent payable for the preceding year. Rental income received under this lease was \$486,047 and \$476,050 for 2015 and 2014, respectively.

## Discovery II

During 2013, the Foundation purchased property held and referred to as Discovery II. The property is being leased to the College for use as office space under an agreement with an initial lease term ending June 30, 2018.

The Foundation entered into a commercial management agreement dated April 11, 2013 with an agent to manage the property on behalf of the Foundation. The agreement is for a one year term ending on March 31, 2014, and continuing on an annual basis unless and until terminated by either party. The services to be provided by the agent include the operation and maintenance of the property, as well as financial duties as defined in the agreement. The management fee paid to the agent will be \$10,800 per annum.

Beginning in 2013, the Foundation began leasing the Discovery II office space to the College. The Foundation entered into a lease agreement with the College dated May 18, 2013 for a sixty-two month term commencing May 1, 2013 and ending June 30, 2018 with the right to renew the lease for up to five additional consecutive one-year terms. Annual base rent is \$382,200, payable in 12 equal installments, with the first installment due on the commencement date, and each monthly installment thereafter due on the first business day of the month. The base rent may be increased annually by two percent. Rental income received under this lease was \$389,844 and \$382,200 for 2015 and 2014, respectively.

## Richmond Road

The Foundation leases office space at 327 Richmond Road in Williamsburg, Virginia to the College under a five-year lease with the initial term beginning on January 1, 2011 and terminating on December 31, 2016. The lease will automatically renew for an additional five years at the end of the initial term. Rental income under this lease agreement was \$33,452 during both 2015 and 2014. The rate remains the same throughout lease term.

## Line of Credit

The Foundation has a revolving line of credit with a bank with a maximum principal amount of \$1,000,000 and \$2,500,000 at June 30, 2015 and 2014, respectively. There was no outstanding balance at June 30, 2015 and 2014. The loan requires quarterly payments of interest only, at a rate equal to one month London Interbank Offered Rate (LIBOR) plus 1.4% (1.59% at June 30, 2015). Principal and all outstanding interest is due on January 21, 2016. The College provided a letter of support acknowledging that the loan is to be used for support of the College's mission. There is no penalty for prepayment of the loan. The loan agreement provides the lender with a security interest in gross receipts, as defined in the document. Gross receipts does not include any revenues, income, receipts, rentals, proceeds and money derived from or securing bonds or notes or other indebtedness of the Foundation now existing, or derived from Tribe Square. During 2013, letters of credit were made available through a modification to the original agreement. There were no outstanding letters of credit at June 30, 2015.

## Bonds Payable

The Foundation obtained a tax-exempt student housing facilities revenue bond, dated September 16, 2011, twenty-five (25) year term. The bond bears interest at a fixed rate of 3.75%. Required monthly payments of principal and interest total \$25,855. The outstanding principal balance is \$4,516,711 at June 30, 2015.

The bond was issued through the Economic Development Authority of the City of Williamsburg for a principal amount of \$5 million. The proceeds of this bond were used to finance the costs to acquire, construct, and equip the student apartment portion of Tribe Square, and pay certain expenses of issuing the bond. The bond is secured by the rents and revenues of Tribe Square, and the property itself.

The bond, which is bank held, has an option for the bank to require the Foundation to repurchase the bond once the bond is 10 years past the issuance date. If this option is exercised the Foundation would pay the aggregate unpaid principal plus accrued interest through the date of such payment. The bank must give the Foundation 120 days' notice prior to the tender date if this option is exercised.

### Promissory Note

The Foundation obtained a promissory note, dated June 3, 2013, ten (10) year term. The note bears interest at a fixed rate of 3.22%. Required monthly payments of principal and interest total \$18,007. The outstanding principal balance is \$3,490,903 at June 30, 2015.

The promissory note was issued through a private lender for a principal amount of \$3,689,000. The proceeds of this note were used to finance the costs to acquire Discovery II, and pay certain expenses of issuing the note. The note is secured by the rents and revenues of Discovery II, and the property itself. A balloon payment in the amount of \$2,570,410 is due at note maturity on June 1, 2023. Prepayments made within the first thirty-six months of the loan are subject to a penalty of 1% of the prepayment amount.

### Demolition Loans

The Foundation obtained demolition loans, dated February 15, 2013. Secured by deed of trust. The loans bear no interest and will be forgiven on a dollar-for-dollar basis to the extent of real estate taxes assessed on the improvements made to certain real estate. The outstanding principal balance is \$7,810 at June 30, 2015.

## 14. RETIREMENT PLANS

### Virginia Retirement System

Employees of the College are employees of the Commonwealth of Virginia. Substantially all full-time classified salaried employees of the College of William and Mary and Richard Bland College participate in the defined benefit retirement plan administered by the Virginia Retirement System (VRS). VRS is an agent multiple-employer public employee retirement system that acts as a common investment and administrative agency for the Commonwealth of Virginia and its political subdivisions.

The College of William and Mary and Richard Bland College's payroll costs for employees covered by VRS were \$71,425,952 for the year ended June 30, 2015. Total payroll costs were \$188,797,429 for the year ended June 30, 2015.

Information regarding types of employees covered, benefit provisions, employee eligibility requirements including eligibility for vesting, and the authority under which benefit provisions as well as employer and employee obligations to contribute are established can be found in the Commonwealth's Comprehensive Annual Financial Report.

The College of William and Mary and Richard Bland College's total VRS contributions were \$8,822,339 for the year ended June 30, 2015. These contributions represent approximately 12.33 percent for state employees and 17.67 percent for VaLORS employees of covered payroll for the period July 2014 to June 2015.

### Optional Retirement Plan

Full-time faculty and certain administrative staff may participate in a retirement annuity program through various optional retirement plans other than the VRS. This is a fixed-contribution program where the retirement benefits received are based upon the employer's contributions of approximately 10.4 percent or 8.50 percent depending on whether the employee is in Plan 1 or Plan 2, plus interest and dividends. Plan 1 consists of employees who became a member prior to July 1, 2010. Plan 2 consists of employees who became a member on or after July 1, 2010.

Individual contracts issued under the plan provide for full and immediate vesting of contributions of the College of William and Mary and Richard Bland College and their employees. Total pension costs under this plan were \$ 8,798,254 for the year ended June 30, 2015. Contributions to the optional retirement plans were calculated using the base salary amount of \$88,678,459 for fiscal year 2015. The College of William and Mary and Richard Bland College's total payroll for fiscal year 2015 was \$188,797,429.

## Deferred Compensation

Employees of the College are employees of the Commonwealth of Virginia. State employees may participate in the Commonwealth's Deferred Compensation Plan. Participating employees can contribute to the plan each pay period with the Commonwealth matching up to \$20 per pay period. The dollar amount of the match can change depending on the funding available in the Commonwealth's budget. The Deferred Compensation Plan is a qualified defined contribution plan under Section 401(a) of the Internal Revenue Code. Employer contributions under the Deferred Compensation Plan were approximately \$756,419 for fiscal year 2015.

## Summary of Significant Accounting Policies – Virginia Retirement System

### Pensions

For purposes of measuring the net pension liability, deferred outflows of resources and deferred inflows of resources related to pensions, and pension expense, information about the fiduciary net position of the Virginia Retirement System (VRS) State Employee Retirement Plan and the Virginia Law Officers' System (VaLORS) Retirement Plan; and the additions to/deductions from the VRS State Employee Retirement Plan's and the VaLORS Retirement Plan's net fiduciary position have been determined on the same basis as they were reported by VRS. For this purpose, benefit payments (including refunds of employee contributions) are recognized when due and payable in accordance with the benefit terms. Investments are reported at fair value.

#### General Information about the Pension Plan

#### Plan Description

All full-time, salaried permanent employees of state agencies are automatically covered by the VRS State Employee Retirement Plan or the VaLORS Retirement Plan upon employment. These plans are administered by the Virginia Retirement System (the System) along with plans for other employer groups in the Commonwealth of Virginia. Members earn one month of service credit for each month they are employed and for which they and their employer make contributions to VRS. Members are eligible to purchase prior service, based on specific criteria as defined in the *Code of Virginia*, as amended. Eligible prior service that may be purchased includes prior public service, active military service, certain periods of leave, and previously refunded service.

The System administers three different benefit structures for covered employees in the VRS State Employee Retirement Plan – Plan 1, Plan 2, and, Hybrid and two different benefit structures for covered employees in the VaLORS Retirement Plan – Plan 1 and Plan 2. Each of these benefit structures has a different eligibility criteria. The specific information for each plan and the eligibility for covered groups within each plan are set out in the table below:

<b>RETIREMENT PLAN PROVISIONS BY PLAN STRUCTURE</b>		
<b>PLAN 1</b>	<b>PLAN 2</b>	<b>HYBRID RETIREMENT PLAN</b>
<b>About Plan 1</b> Plan 1 is a defined benefit plan. The retirement benefit is based on a member's age, creditable service and average final compensation at retirement using a formula. Employees are eligible for Plan 1 if their membership date is before July 1, 2010, and they were vested as of January 1, 2013.	<b>About Plan 2</b> Plan 2 is a defined benefit plan. The retirement benefit is based on a member's age, creditable service and average final compensation at retirement using a formula. Employees are eligible for Plan 2 if their membership date is on or after July 1, 2010, or their membership date is before July 1, 2010, and they were not vested as of January 1, 2013.	<b>About the Hybrid Retirement Plan</b> The Hybrid Retirement Plan combines the features of a defined benefit plan and a defined contribution plan. Most members hired on or after January 1, 2014 are in this plan, as well as Plan 1 and Plan 2 members who were eligible and opted into the plan during a special election window. (see

		<p>“Eligible Members”)</p> <ul style="list-style-type: none"> <li>• The defined benefit is based on a member’s age, creditable service and average final compensation at retirement using a formula.</li> <li>• The benefit from the defined contribution component of the plan depends on the member and employer contributions made to the plan and the investment performance of those contributions.</li> <li>• In addition to the monthly benefit payment payable from the defined benefit plan at retirement, a member may start receiving distributions from the balance in the defined contribution account, reflecting the contributions, investment gains or losses, and any required fees.</li> </ul>
<p><b>Eligible Members</b> Employees are in Plan 1 if their membership date is before July 1, 2010, and they were vested as of January 1, 2013.</p> <p><b>Hybrid Opt-In Election</b> VRS non-hazardous duty covered Plan 1 members were allowed to make an irrevocable decision to opt into the Hybrid Retirement Plan during a special election window held January 1 through April 30, 2014.</p> <p>The Hybrid Retirement Plan’s effective date for eligible Plan 1 members who opted in was July 1, 2014.</p> <p>If eligible deferred members returned to work during the election window, they were also eligible to opt into the Hybrid Retirement Plan.</p>	<p><b>Eligible Members</b> Employees are in Plan 2 if their membership date is on or after July 1, 2010, or their membership date is before July 1, 2010, and they were not vested as of January 1, 2013.</p> <p><b>Hybrid Opt-In Election</b> Eligible Plan 2 members were allowed to make an irrevocable decision to opt into the Hybrid Retirement Plan during a special election window held January 1 through April 30, 2014.</p> <p>The Hybrid Retirement Plan’s effective date for eligible Plan 2 members who opted in was July 1, 2014.</p> <p>If eligible deferred members returned to work during the election window, they were also eligible to opt into the Hybrid Retirement Plan.</p> <p>Members who were eligible for an</p>	<p><b>Eligible Members</b> Employees are in the Hybrid Retirement Plan if their membership date is on or after January 1, 2014. This includes:           <ul style="list-style-type: none"> <li>• State employees*</li> <li>• Members in Plan 1 or Plan 2 who elected to opt into the plan during the election window held January 1-April 30, 2014; the plan’s effective date for opt-in members was July 1, 2014</li> </ul> </p> <p><b>*Non-Eligible Members</b> Some employees are not eligible to participate in the Hybrid Retirement Plan. They include:           <ul style="list-style-type: none"> <li>• Members of the Virginia Law Officers’ Retirement System (VaLORS)</li> </ul> </p> <p>Those employees eligible for an optional retirement plan (ORP) must elect the ORP plan or the Hybrid Retirement Plan. If these members have prior service under Plan 1 or Plan 2, they are not eligible to elect the Hybrid Retirement Plan and must select</p>

<p>Members who were eligible for an optional retirement plan (ORP) and had prior service under Plan 1 were not eligible to elect the Hybrid Retirement Plan and remain as Plan 1 or ORP.</p>	<p>optional retirement plan (ORP) and have prior service under Plan 2 were not eligible to elect the Hybrid Retirement Plan and remain as Plan 2 or ORP.</p>	<p>Plan 1 or Plan 2 (as applicable) or ORP.</p>
<p><b>Retirement Contributions</b> State employees, excluding state elected officials, and optional retirement plan participants, contribute 5% of their compensation each month to their member contribution account through a pre-tax salary reduction. Member contributions are tax-deferred until they are withdrawn as part of a retirement benefit or as a refund. The employer makes a separate actuarially determined contribution to VRS for all covered employees. VRS invests both member and employer contributions to provide funding for the future benefit payment.</p>	<p><b>Retirement Contributions</b> State employees contribute 5% of their compensation each month to their member contribution account through a pre-tax salary reduction.</p>	<p><b>Retirement Contributions</b> A member's retirement benefit is funded through mandatory and voluntary contributions made by the member and the employer to both the defined benefit and the defined contribution components of the plan. Mandatory contributions are based on a percentage of the employee's creditable compensation and are required from both the member and the employer. Additionally, members may choose to make voluntary contributions to the defined contribution component of the plan, and the employer is required to match those voluntary contributions according to specified percentages.</p>
<p><b>Creditable Service</b> Creditable service includes active service. Members earn creditable service for each month they are employed in a covered position. It also may include credit for prior service the member has purchased or additional creditable service the member was granted. A member's total creditable service is one of the factors used to determine their eligibility for retirement and to calculate their retirement benefit. It also may count toward eligibility for the health insurance credit in retirement, if the employer offers the health insurance credit.</p>	<p><b>Creditable Service</b> Same as Plan 1.</p>	<p><b>Creditable Service</b> <b><u>Defined Benefit Component:</u></b> Under the defined benefit component of the plan, creditable service includes active service. Members earn creditable service for each month they are employed in a covered position. It also may include credit for prior service the member has purchased or additional creditable service the member was granted. A member's total creditable service is one of the factors used to determine their eligibility for retirement and to calculate their retirement benefit. It also may count toward eligibility for the health insurance credit in retirement, if the employer offers the health insurance credit.</p>

		<p><b><u>Defined Contributions Component:</u></b> Under the defined contribution component, creditable service is used to determine vesting for the employer contribution portion of the plan.</p>
<p><b>Vesting</b> Vesting is the minimum length of service a member needs to qualify for a future retirement benefit. Members become vested when they have at least five years (60 months) of creditable service. Vesting means members are eligible to qualify for retirement if they meet the age and service requirements for their plan. Members also must be vested to receive a full refund of their member contribution account balance if they leave employment and request a refund.</p> <p>Members are always 100% vested in the contributions that they make.</p>	<p><b>Vesting</b> Same as Plan 1.</p>	<p><b>Vesting</b> <b><u>Defined Benefit Component:</u></b> Defined benefit vesting is the minimum length of service a member needs to qualify for a future retirement benefit. Members are vested under the defined benefit component of the Hybrid Retirement Plan when they reach five years (60 months) of creditable service. Plan 1 or Plan 2 members with at least five years (60 months) of creditable service who opted into the Hybrid Retirement Plan remain vested in the defined benefit component.</p> <p><b><u>Defined Contributions Component:</u></b> Defined contribution vesting refers to the minimum length of service a member needs to be eligible to withdraw the employer contributions from the defined contribution component of the plan.</p> <p>Members are always 100% vested in the contributions that they make.</p> <p>Upon retirement or leaving covered employment, a member is eligible to withdraw a percentage of employer contributions to the defined contribution component of the plan, based on service.</p> <ul style="list-style-type: none"> <li>• After two years, a member is 50% vested and may withdraw 50% of employer contributions.</li> <li>• After three years, a member is 75% vested and may</li> </ul>

		<p>withdraw 75% of employer contributions.</p> <ul style="list-style-type: none"> <li>After four or more years, a member is 100% vested and may withdraw 100% of employer contributions.</li> </ul> <p>Distribution is not required by law until age 70½.</p>
<p><b>Calculating the Benefit</b> The Basic Benefit is calculated based on a formula using the member's average final compensation, a retirement multiplier and total service credit at retirement. It is one of the benefit payout options available to a member at retirement.</p> <p>An early retirement reduction factor is applied to the Basic Benefit if the member retires with a reduced retirement benefit or selects a benefit payout option other than the Basic Benefit.</p>	<p><b>Calculating the Benefit</b> See definition under Plan 1.</p>	<p><b>Calculating the Benefit</b> <b><u>Defined Benefit Component:</u></b> See definition under Plan 1</p> <p><b><u>Defined Contribution Component:</u></b> The benefit is based on contributions made by the member and any matching contributions made by the employer, plus net investment earnings on those contributions.</p>
<p><b>Average Final Compensation</b> A member's average final compensation is the average of the 36 consecutive months of highest compensation as a covered employee.</p>	<p><b>Average Final Compensation</b> A member's average final compensation is the average of their 60 consecutive months of highest compensation as a covered employee.</p>	<p><b>Average Final Compensation</b> Same as Plan 2. It is used in the retirement formula for the defined benefit component of the plan.</p>
<p><b>Service Retirement Multiplier</b> <b>VRS:</b> The retirement multiplier is a factor used in the formula to determine a final retirement benefit. The retirement multiplier for non-hazardous duty members is 1.70%.</p> <p><b>VaLORS:</b> The retirement multiplier for VaLORS employees is 1.70% or 2.00%.</p>	<p><b>Service Retirement Multiplier</b> <b>VRS:</b> Same as Plan 1 for service earned, purchased or granted prior to January 1, 2013. For non-hazardous duty members the retirement multiplier is 1.65% for creditable service earned, purchased or granted on or after January 1, 2013.</p> <p><b>VaLORS:</b> The retirement multiplier for VaLORS employees is 2.00%.</p>	<p><b>Service Retirement Multiplier</b> <b><u>Defined Benefit Component:</u></b> <b>VRS:</b> The retirement multiplier for the defined benefit component is 1.00%.</p> <p>For members who opted into the Hybrid Retirement Plan from Plan 1 or Plan 2, the applicable multipliers for those plans will be used to calculate the retirement benefit for service credited in those plans.</p> <p><b>VaLORS:</b> Not applicable.</p> <p><b><u>Defined Contribution Component:</u></b></p>

		Not applicable.
<p><b>Normal Retirement Age</b>  <b>VRS:</b> Age 65.    <b>VaLORS:</b> Age 60.</p>	<p><b>Normal Retirement Age</b>  <b>VRS:</b> Normal Social Security retirement age.    <b>VaLORS:</b> Same as Plan 1.</p>	<p><b>Normal Retirement Age</b>  <b><u>Defined Benefit Component:</u></b>  <b>VRS:</b> Same as Plan 2.    <b>VaLORS:</b> Not applicable.</p> <p><b><u>Defined Contribution Component:</u></b>  Members are eligible to receive distributions upon leaving employment, subject to restrictions.</p>
<p><b>Earliest Unreduced Retirement Eligibility</b>  <b>VRS:</b> Age 65 with at least five years (60 months) of creditable service or at age 50 with at least 30 years of creditable service.    <b>VaLORS:</b> Age 60 with at least five years of creditable service or age 50 with at least 25 years of creditable service.</p>	<p><b>Earliest Unreduced Retirement Eligibility</b>  <b>VRS:</b> Normal Social Security retirement age with at least five years (60 months) of creditable service or when their age and service equal 90.    <b>VaLORS:</b> Same as Plan 1.</p>	<p><b>Earliest Unreduced Retirement Eligibility</b>  <b><u>Defined Benefit Component:</u></b>  <b>VRS:</b> Normal Social Security retirement age and have at least five years (60 months) of creditable service or when their age and service equal 90.    <b>VaLORS:</b> Not applicable.</p> <p><b><u>Defined Contribution Component:</u></b>  Members are eligible to receive distributions upon leaving employment, subject to restrictions.</p>
<p><b>Earliest Reduced Retirement Eligibility</b>  <b>VRS:</b> Age 55 with at least five years (60 months) of creditable service or age 50 with at least 10 years of creditable service.    <b>VaLORS:</b> 50 with at least five years of creditable service.</p>	<p><b>Earliest Reduced Retirement Eligibility</b>  <b>VRS:</b> Age 60 with at least five years (60 months) of creditable service.    <b>VaLORS:</b> Same as Plan 1.</p>	<p><b>Earliest Unreduced Retirement Eligibility</b>  <b><u>Defined Benefit Component:</u></b>  <b>VRS:</b> Age Members may retire with a reduced benefit as early as age 60 with at least five years (60 months) of creditable service.    <b>VaLORS:</b> Not applicable.</p> <p><b><u>Defined Contribution Component:</u></b>  Members are eligible to receive distributions upon leaving employment, subject to</p>

		restrictions.
<p><b>Cost-of-Living Adjustment (COLA) in Retirement</b>  The Cost-of-Living Adjustment (COLA) matches the first 3% increase in the Consumer Price Index for all Urban Consumers (CPI-U) and half of any additional increase (up to 4%) up to a maximum COLA of 5%.</p> <p><b>Eligibility:</b>  For members who retire with an unreduced benefit or with a reduced benefit with at least 20 years of creditable service, the COLA will go into effect on July 1 after one full calendar year from the retirement date.</p> <p>For members who retire with a reduced benefit and who have less than 20 years of creditable service, the COLA will go into effect on July 1 after one calendar year following the unreduced retirement eligibility date.</p> <p><b>Exceptions to COLA Effective Dates:</b>  The COLA is effective July 1 following one full calendar year (January 1 to December 31) under any of the following circumstances:</p> <ul style="list-style-type: none"> <li>• The member is within five years of qualifying for an unreduced retirement benefit as of January 1, 2013.</li> <li>• The member retires on disability.</li> <li>• The member retires directly from short-term or long-term disability under the Virginia Sickness and Disability Program (VSDP).</li> <li>• The member is involuntarily separated from employment for causes other than job performance or misconduct and is eligible to retire under the Workforce Transition Act</li> </ul>	<p><b>Cost-of-Living Adjustment (COLA) in Retirement</b>  The Cost-of-Living Adjustment (COLA) matches the first 2% increase in the CPI-U and half of any additional increase (up to 2%), for a maximum COLA of 3%.</p> <p><b>Eligibility:</b>  Same as Plan 1</p> <p><b>Exceptions to COLA Effective Dates:</b>  Same as Plan 1</p>	<p><b>Cost-of-Living Adjustment (COLA) in Retirement</b>  <b>Defined Benefit Component:</b>  Same as Plan 2.</p> <p><b>Defined Contribution Component:</b>  Not applicable.</p> <p><b>Eligibility:</b>  Same as Plan 1 and Plan 2.</p> <p><b>Exceptions to COLA Effective Dates:</b>  Same as Plan 1 and Plan 2.</p>

<p>or the Transitional Benefits Program.</p> <ul style="list-style-type: none"> <li>The member dies in service and the member's survivor or beneficiary is eligible for a monthly death-in-service benefit. The COLA will go into effect on July 1 following one full calendar year (January 1 to December 31) from the date the monthly benefit begins.</li> </ul>		
<p><b>Disability Coverage</b> Members who are eligible to be considered for disability retirement and retire on disability, the retirement multiplier is 1.7% on all service, regardless of when it was earned, purchased or granted.</p> <p>Most state employees are covered under the Virginia Sickness and Disability Program (VSDP), and are not eligible for disability retirement.</p> <p>VSDP members are subject to a one-year waiting period before becoming eligible for non-work-related disability benefits.</p>	<p><b>Disability Coverage</b> Members who are eligible to be considered for disability retirement and retire on disability, the retirement multiplier is 1.65% on all service, regardless of when it was earned, purchased or granted.</p> <p>Most state employees are covered under the Virginia Sickness and Disability Program (VSDP), and are not eligible for disability retirement.</p> <p>VSDP members are subject to a one-year waiting period before becoming eligible for non-work related disability benefits.</p>	<p><b>Disability Coverage</b> State employees (including Plan 1 and Plan 2 opt-ins) participating in the Hybrid Retirement Plan are covered under the Virginia Sickness and Disability Program (VSDP), and are not eligible for disability retirement.</p> <p>Hybrid members (including Plan 1 and Plan 2 opt-ins) covered under VSDP are subject to a one-year waiting period before becoming eligible for non-work-related disability benefits.</p>
<p><b>Purchase of Prior Service</b> Members may be eligible to purchase service from previous public employment, active duty military service, an eligible period of leave or VRS refunded service as creditable service in their plan. Prior creditable service counts toward vesting, eligibility for retirement and the health insurance credit. Only active members are eligible to purchase prior service. When buying service, members must purchase their most recent period of service first. Members also may be eligible to purchase periods of leave without pay.</p>	<p><b>Purchase of Prior Service</b> Same as Plan 1.</p>	<p><b>Purchase of Prior Service</b> <b><u>Defined Benefit Component:</u></b> Same as Plan 1, with the following exceptions:</p> <ul style="list-style-type: none"> <li>Hybrid Retirement Plan members are ineligible for ported service.</li> <li>The cost for purchasing refunded service is the higher of 4% of creditable compensation or average final compensation.</li> <li>Plan members have one year from their date of hire or return from leave to purchase all but refunded prior service at approximate normal cost. After that one-year period, the rate for most categories of service</li> </ul>

		will change to actuarial cost.
		<p><b><u>Defined Contribution Component:</u></b> Not applicable.</p>

### Contributions

The contribution requirement for active employees is governed by §51.1-145 of the *Code of Virginia*, as amended, but may be impacted as a result of funding provided to state agencies by the Virginia General Assembly. Employees are required to contribute 5.00% of their compensation toward their retirement. Prior to July 1, 2012, the 5.00% member contribution was paid by the employer. Beginning July 1, 2012 state employees were required to pay the 5.00% member contribution and the employer was required to provide a salary increase equal to the amount of the increase in the employee-paid member contribution. Each state agency's contractually required contribution rate for the year ended June 30, 2015 was 12.33% of covered employee compensation for employees in the VRS State Employee Retirement Plan and 17.67% of covered employee compensation for employees in the VaLORS Retirement Plan. These rates were based on an actuarially determined rate from an actuarial valuation as of June 30, 2013. The actuarial rate for the VRS State Employee Retirement Plan was 15.80% and the actuarial rate for VaLORS Retirement Plan was 21.06%. The actuarially determined rate, when combined with employee contributions, was expected to finance the costs of benefits earned by employees during the year, with an additional amount to finance any unfunded accrued liability. Based on the provisions of §51.1-145 of the *Code of Virginia*, as amended, the contributions for the VRS State Employee Retirement Plan were funded at 78.02% of the actuarial rate and the contributions for the VaLORS Retirement Plan were funded at 83.88% of the actuarial rate for the year ended June 30, 2015. Contributions from the College to the VRS State Employee Retirement Plan were \$8,615,196 and \$5,834,715 for the years ended June 30, 2015 and June 30, 2014, respectively. Contributions from the College to the VaLORS Retirement Plan were \$207,143 and \$162,984 for the years ended June 30, 2015 and June 30, 2014, respectively.

### Pension Liabilities, Pension Expense, and Deferred Outflows of Resources and Deferred Inflows of Resources Related to Pensions

At June 30, 2015, the College reported a liability of \$99,411,000 for its proportionate share of the VRS State Employee Retirement Plan Net Pension Liability and a liability of \$2,024,000 for its proportionate share of the VaLORS Retirement Plan Net Pension Liability. The Net Pension Liability was measured as of June 30, 2014 and the total pension liability used to calculate the Net Pension Liability was determined by an actuarial valuation as of that date. The College's proportion of the Net Pension Liability was based on the College's actuarially determined employer contributions to the pension plan for the year ended June 30, 2014 relative to the total of the actuarially determined employer contributions for all participating employers. At June 30, 2014, the College's proportion of the VRS State Employee Retirement Plan was 1.35% for The College of William and Mary, 0.32% for VIMS and 0.11% for RBC as compared to 1.28% for The College of William and Mary, 0.32% for VIMS and 0.11% for RBC at June 30, 2013. At June 30, 2014, the College's proportion of the VaLORS Retirement Plan was 0.26% for The College of William and Mary and 0.04% for RBC as compared to 0.26% for The College of William and Mary and 0.05% for RBC at June 30, 2013.

For the year ended June 30, 2015, the College recognized pension expense of \$7,731,000 for the VRS State Employee Retirement Plan and \$164,000 for the VaLORS Retirement Plan. Since there was a change in proportionate share between June 30, 2013 and June 30, 2014, a portion of the pension expense was related to deferred amounts from changes in proportion and from differences between employer contributions and the proportionate share of employer contributions.

At June 30, 2015, the College reported deferred outflows of resources and deferred inflows of resources related to pensions from the following sources:

**VRS Retirement Plan**

	<b>Deferred Outflows of Resources</b>	<b>Deferred Inflows of Resources</b>
Differences between expected and actual experience	-	-
Change in assumptions	-	-
Net difference between projected and actual earnings on pension plan investments	-	17,744,000
Changes in proportion and differences between Employer contributions and proportionate share of contributions	3,308,000	203,000
Employer contributions subsequent to the measurement date	8,615,196	-
<b>Total</b>	<b>\$ 11,923,196</b>	<b>\$ 17,947,000</b>

**VaLORS Retirement Plan**

	<b>Deferred Outflows of Resources</b>	<b>Deferred Inflows of Resources</b>
Differences between expected and actual experience	-	-
Change in assumptions	-	-
Net difference between projected and actual earnings on pension plan investments	-	209,000
Changes in proportion and differences between Employer contributions and proportionate share of contributions	-	58,000
Employer contributions subsequent to the measurement date	207,143	-
<b>Total</b>	<b>\$ 207,143</b>	<b>\$ 267,000</b>

\$8,822,339 reported as deferred outflows of resources related to pensions resulting from the College's contributions subsequent to the measurement date will be recognized as a reduction of the Net Pension Liability in the year ended June 30, 2016. Other amounts reported as deferred outflows of resources and deferred inflows of resources related to pensions will be recognized in pension expense as follows:

**Year ended June 30**

(\$ thousands)

	<u>VRS Retirement Plan</u>	<u>VaLORS Retirement Plan</u>
2016	\$ 3,359	\$ 75
2017	\$ 3,359	\$ 75
2018	\$ 3,488	\$ 67
2019	\$ 4,433	\$ 50

Actuarial Assumptions

The total pension liability for the VRS State Employee Retirement Plan was based on an actuarial valuation as of June 30, 2013, using the Entry Age Normal actuarial cost method and the following assumptions, applied to all periods included in the measurement and rolled forward to the measurement date of June 30, 2014.

Inflation	2.5 percent
Salary increases, including Inflation	3.5 percent – 5.35 percent
Investment rate of return	7.0 percent, net of pension plan investment expense, including inflation*

\* Administrative expenses as a percent of the market value of assets for the last experience study were found to be approximately 0.06% of the market assets for all of the VRS plans. This would provide an assumed investment return rate for GASB purposes of slightly more than the assumed 7.0%. However, since the difference was minimal, and a more conservative 7.0% investment return assumption provided a projected plan net position that exceeded the projected benefit payments, the long-term expected rate of return on investments was assumed to be 7.0% to simplify preparation of pension liabilities.

Mortality rates:

Pre-Retirement:

RP-2000 Employee Mortality Table Projected with Scale AA to 2020 with males set forward 2 years and females were set back 3 years.

Post-Retirement:

RP-2000 Combined Mortality Table Projected with Scale AA to 2020 with females set back 1 year.

Post-Disablement:

RP-2000 Disability Life Mortality Table Projected to 2020 with males set back 3 years and no provision for future mortality improvement

The actuarial assumptions used in the June 30, 2013 valuation were based on the results of an actuarial experience study for the period from July 1, 2008 through June 30, 2012. Changes to the actuarial assumptions as a result of the experience study are as follows:

- Update mortality table
- Decrease in rates of service retirement
- Decrease in rates of withdrawals for less than 10 years of service
- Decrease in rates of male disability retirement
- Reduce rates of salary increase by 0.25% per year

The total pension liability for the VaLORS Retirement Plan was based on an actuarial valuation as of June 30, 2013, using the Entry Age Normal actuarial cost method and the following assumptions, applied to all periods included

in the measurement and rolled forward to the measurement date of June 30, 2014.

Inflation	2.5 percent
Salary increases, including Inflation	3.5 percent – 4.75 percent
Investment rate of return	7.0 percent, net of pension plan investment expense, including inflation*

\* Administrative expenses as a percent of the market value of assets for the last experience study were found to be approximately 0.06% of the market assets for all of the VRS plans. This would provide an assumed investment return rate for GASB purposes of slightly more than the assumed 7.0%. However, since the difference was minimal, and a more conservative 7.0% investment return assumption provided a projected plan net position that exceeded the projected benefit payments, the long-term expected rate of return on investments was assumed to be 7.0% to simplify preparation of pension liabilities.

Mortality rates:

Pre-Retirement:

RP-2000 Employee Mortality Table Projected with Scale AA to 2020 with males set forward 5 years and females were set back 3 years.

Post-Retirement:

RP-2000 Combined Mortality Table Projected with Scale AA to 2020 with females set back 1 year.

Post-Disablement:

RP-2000 Disability Life Mortality Table Projected to 2020 with males set back 3 years and no provision for future mortality improvement

The actuarial assumptions used in the June 30, 2013 valuation were based on the results of an actuarial experience study for the period from July 1, 2008 through June 30, 2012. Changes to the actuarial assumptions as a result of the experience study are as follows:

- Update mortality table
- Adjustments to the rates of service retirement
- Decrease in rates of withdrawals for females under 10 years of service
- Increase in rates of disability
- Decrease service related disability rate from 60% to 50%

### Net Pension Liability

The net pension liability (NPL) is calculated separately for each system and represents that particular system's total pension liability determined in accordance with GASB Statement No. 67, less that system's fiduciary net position. As of June 30, 2014, NPL amounts for the VRS State Employee Retirement Plan and the VaLORS Retirement Plan are as follows (amounts expressed in thousands):

	<b>State Employee Retirement Plan</b>	<b>VaLORS Retirement Plan</b>
Total Pension Liability	\$ 21,766,933	\$ 1,824,577
Plan Fiduciary Net Position	<u>16,168,535</u>	<u>1,150,450</u>
Employers' Net Pension Liability (Asset)	<u>\$ 5,598,398</u>	<u>\$ 674,127</u>

Plan Fiduciary Net Position as a Percentage  
of the Total Pension Liability

74.28%

63.05%

The total pension liability is calculated by the System's actuary, and each plan's fiduciary net position is reported in the System's financial statements. The net pension liability is disclosed in accordance with the requirements of GASB Statement No. 67 in the System's notes to the financial statements and required supplementary information.

Long-Term Expected Rate of Return

The long-term expected rate of return on pension System investments was determined using a log-normal distribution analysis in which best-estimate ranges of expected future real rates of return (expected returns, net of pension System investment expense and inflation) are developed for each major asset class. These ranges are combined to produce the long-term expected rate of return by weighting the expected future real rates of return by the target asset allocation percentage and by adding expected inflation. The target asset allocation and best estimate of arithmetic real rates of return for each major asset class are summarized in the following table:

Asset Class (Strategy)	Target Allocation	Arithmetic Long-Term Expected Rate of Return	Weighted Average Long-Term Expected Rate of Return
U.S. Equity	19.50%	6.46%	1.26%
Developed Non U.S Equity	16.50%	6.28%	1.04%
Emerging Market Equity	6.00%	10.00%	0.60%
Fixed Income	15.00%	0.09%	0.01%
Emerging Debt	3.00%	3.51%	0.11%
Rate Sensitive Credit	4.50%	3.51%	0.16%
Non Rate Sensitive Credit	4.50%	5.00%	0.23%
Convertibles	3.00%	4.81%	0.14%
Public Real Estate	2.25%	6.12%	0.14%
Private Real Estate	12.75%	7.10%	0.91%
Private Equity	12.00%	10.41%	1.25%
Cash	1.00%	-1.50%	-0.02%
<b>Total</b>	<b>100.00%</b>		<b>5.83%</b>
* Expected arithmetic nominal return			<b>2.50%</b>
Inflation			<b>8.33%</b>

\* Using stochastic projection results provides an expected range of real rates of return over various time horizons. Looking at one year results produces an expected real return of 8.33% but also has a high standard deviation, which means there is high volatility. Over larger time horizons the volatility declines significantly and provides a median return of 7.44%, including expected inflation of 2.50%.

Discount Rate

The discount rate used to measure the total pension liability was 7.00%. The projection of cash flows used to determine the discount rate assumed that System member contributions will be made per the VRS Statutes and the employer contributions will be made in accordance with the VRS funding policy at rates equal to the difference between actuarially determined contribution rates adopted by the VRS Board of Trustees and the member rate. Through the fiscal

year ending June 30, 2018, the rate contributed by the state agency for the VRS State Employee Retirement Plan and the VaLORS Retirement Plan will be subject to the portion of the VRS Board-certified rates that are funded by the Virginia General Assembly. From July 1, 2018 on, all agencies are assumed to contribute 100% of the actuarially determined contribution rates. Based on those assumptions, the pension plan's fiduciary net position was projected to be available to make all projected future benefit payments of current active and inactive employees. Therefore the long-term expected rate of return was applied to all periods of projected benefit payments to determine the total pension liability.

#### Sensitivity of the State Agency's Proportionate Share of the Net Pension Liability to Changes in the Discount Rate

The following presents the College's proportionate share of the VRS State Employee Retirement Plan net pension liability using the discount rate of 7.00%, as well as what the state agency's proportionate share of the net pension liability would be if it were calculated using a discount rate that is one percentage point lower (6.00%) or one percentage point higher (8.00%) than the current rate:

(\$ thousands)	<b>1.00% Decrease (6.00%)</b>	<b>Current Discount Rate (7.00%)</b>	<b>1.00% Increase (8.00%)</b>
The College of William and Mary proportionate share of the VRS State Employee Retirement Plan	\$ 145,628	\$ 99,411	\$ 60,658
Net Pension Liability			

The following presents the College's proportionate share of the VaLORS Retirement Plan net pension liability using the discount rate of 7.00%, as well as what the state agency's proportionate share of the net pension liability would be if it were calculated using a discount rate that is one percentage point lower (6.00%) or one percentage point higher (8.00%) than the current rate:

(\$ thousands)	<b>1.00% Decrease (6.00%)</b>	<b>Current Discount Rate (7.00%)</b>	<b>1.00% Increase (8.00%)</b>
The College of William and Mary proportionate share of the VaLORS Retirement Plan	\$ 2,766	\$ 2,024	\$ 1,414
Net Pension Liability			

#### Pension Plan Fiduciary Net Position

Detailed information about the VRS State Employee Retirement Plan's Fiduciary Net Position or the VaLORS Retirement Plan's Fiduciary Net Position is available in the separately issued VRS 2014 Comprehensive Annual Financial Report (CAFR). A copy of the 2014 VRS CAFR may be downloaded from the VRS website at <http://www.varetire.org/Pdf/Publications/2014-annual-report.pdf>, or by writing to the System's Chief Financial Officer at P.O. Box 2500, Richmond, VA, 23218-2500.

#### **15. POST-RETIREMENT BENEFITS**

The Commonwealth participates in the VRS administered statewide group life insurance program which provides post-employment life insurance benefits to eligible retired and terminated employees. The Commonwealth also provides health care credits against the monthly health insurance premiums of its retirees who have at least 15 years of service and participate in the State's health plan. Information related to these plans is available at the statewide level in the Comprehensive Annual Financial Report.

## 16. CONTINGENCIES

### Grants and Contracts

The College of William and Mary and Richard Bland College receive assistance from non-state grantor agencies in the form of grants and contracts. Entitlement to these resources is conditional upon compliance with the terms and conditions of the agreements, including the expenditure of resources for eligible purposes. Substantially all grants and contracts are subject to financial and compliance audits by the grantors. Any disallowances as a result of these audits become a liability. As of June 30, 2014, the College estimates that no material liabilities will result from such audits.

### Litigation

The College is not involved in any litigation at this time.

## 17. RISK MANAGEMENT

The College is exposed to various risks of loss related to torts; theft of, damage to, and destruction of assets; errors and omissions; non-performance of duty; injuries to employees; and natural disasters. The College participates in insurance plans maintained by the Commonwealth of Virginia. The state employee health care and worker's compensation plans are administered by the Department of Human Resource Management and the risk management insurance plans are administered by the Department of Treasury, Division of Risk Management. Risk management insurance includes property, general liability, medical malpractice, faithful performance of duty bond, automobile, and air and watercraft plans. The College pays premiums to each of these departments for its insurance coverage. Information relating to the Commonwealth's insurance plans is available at the statewide level in the Commonwealth of Virginia's Comprehensive Annual Financial Report.

## 18. ADVANCE FROM THE TREASURER OF VIRGINIA

Section 4-3.02 of the Appropriation Act describes the circumstances under which agencies and institutions may borrow funds from the state treasury, including prefunding for capital projects in anticipation of bond sale proceeds and operating funds in anticipation of federal revenue. As of June 30, 2015, there was \$129,092 in outstanding Advances from the Treasurer representing advances from the Commonwealth of Virginia for working capital pending the receipt of Equipment Trust Fund reimbursements for Richard Bland College.

Required Supplementary Information (RSI)  
VRS State Employee Retirement Plan  
and VaLORS Retirement Plan  
For the Fiscal Year Ended June 30, 2015

**Schedule of The College of William and Mary's (CWM) Share of Net Pension Liability  
VRS State Employee Retirement Plan  
For the Year Ended June 30, 2015 \***

	2015
CWM's Proportion of the Net Pension Liability (Asset)	1.35%
	VIMS
	RBC
	0.32%
	0.11%
CWM's Proportionate Share of the Net Pension Liability (Asset)	99,411,000
CWM's Covered-Employee Payroll	\$70,307,029
CWM's Proportionate Share of the Net Pension Liability (Asset) as a Percentage of its Covered-Employee Payroll	141.40%
Plan Fiduciary Net Position as a Percentage of the Total Pension Liability	74.28%

Schedule is intended to show information for 10 years. Since 2015 is the first year for this presentation, no other data is available. However, additional years will be included as they become available.

\* The amounts presented have a measurement date of the previous fiscal year end.

**Schedule of The College of William and Mary's (CWM) Share of Net Pension Liability  
VaLORS Retirement Plan  
For the Year Ended June 30, 2015 \***

		<b>2015</b>
CWM's Proportion of the Net Pension Liability (Asset)	CWM	0.26%
	RBC	0.04%
 CWM's Proportionate Share of the Net Pension Liability (Asset)		 2,024,000
 CWM's Covered-Employee Payroll		 \$989,861
 CWM's Proportionate Share of the Net Pension Liability (Asset) as a Percentage of its Covered-Employee Payroll		 204.47%
 Plan Fiduciary Net Position as a Percentage of the Total Pension Liability		 63.05%

Schedule is intended to show information for 10 years. Since 2015 is the first year for this presentation, no other data is available. However, additional years will be included as they become available.

\* The amounts presented have a measurement date of the previous fiscal year end.

## Schedule of Employer Contributions

### **Schedule of Employer Contributions For the Year Ended June 30, 2015**

Plan	Contributions in Relation to Contractually Required Contribution			Employer's Covered Employee Payroll	Contributions as a % of Covered Employee Payroll
	(1)	(2)	(3)		
State Employee	8,668,857	8,668,857	-	70,307,029	12%
VaLORS Employee	174,908	174,908	-	989,861	18%

Schedule is intended to show information for 10 years. Since 2015 is the first year for this presentation, no other data is available. However, additional years will be included as they become available.

### **Notes to Required Supplemental Information For the Year Ended June 30, 2015**

#### Changes of benefit terms

There have been no significant changes to the System benefit provisions since the prior actuarial valuation. A hybrid plan with changes to the defined benefit plan structure and a new defined contribution component were adopted in 2012. The hybrid plan applies to most new employees hired on or after January 1, 2014 and not covered by enhanced hazardous duty benefits. The liabilities presented do not reflect the hybrid plan since it covers new members joining the System after the valuation date of June 30, 2013 and the impact on the liabilities as of the measurement date of June 30, 2014 are minimal.

#### Changes of assumptions

The following changes in actuarial assumptions were made for the VRS - State Employee Retirement Plan effective June 30, 2013 based on the most recent experience study of the System for the four-year period ending June 30, 2012:

- Update mortality table
- Decrease in rates of service retirement
- Decrease in rates of withdrawals for less than 10 years of service
- Decrease in rates of male disability retirement
- Reduce rates of salary increase by 0.25% per year

The following changes in actuarial assumptions were made for the VaLORS Retirement Plan effective June 30, 2013 based on the most recent experience study of the System for the four-year period ending June 30, 2012:

- Update mortality table
- Adjustments to the rates of service retirement
- Decrease in rates of withdrawals for females under 10 years of service
- Increase in rates of disability
- Decrease service related disability rate from 60% to 50%

Board of Visitors

Resolution 13

November 18-20, 2015

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**COLLEGE OF WILLIAM AND MARY  
RECEIPT OF THE FINANCIAL REPORT OF  
THE INTERCOLLEGIATE ATHLETIC DEPARTMENT  
FOR THE FISCAL YEAR ENDED JUNE 30, 2015**

The summarized Financial Report of the Intercollegiate Athletic Department for the fiscal year ended June 30, 2015, has been presented by the Senior Vice President for Finance and Administration to the President of the College, who has approved it for presentation to the Rector and the Board of Visitors.

**RESOLVED**, That the Unaudited Financial Report of Intercollegiate Athletics for the Year Ended June 30, 2015 (*see separate booklet*), is hereby received by the Board of Visitors.



# WILLIAM & MARY

CHARTERED 1693

UNAUDITED  
FINANCIAL REPORT OF INTERCOLLEGIATE ATHLETICS  
FOR THE YEAR ENDED  
JUNE 30, 2015

THE COLLEGE OF WILLIAM AND MARY IN VIRGINIA  
Williamsburg, VA

BOARD OF VISITORS  
As of June 30, 2015

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Robert E. Scott - Vice Rector  
Thomas R. Frantz - Secretary

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COLLEGE OFFICIALS

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Edward C. Driscoll, Director of Intercollegiate Athletics Programs  
Chelsey P. Burk, Assistant Athletic Director for Business Affairs

**THE COLLEGE OF WILLIAM AND MARY IN VIRGINIA**  
**FINANCIAL REPORT OF INTERCOLLEGIATE ATHLETICS**

For the Year Ended June 30, 2015

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**THE COLLEGE OF WILLIAM AND MARY IN VIRGINIA**  
**SCHEDULE OF REVENUES AND EXPENSES OF**  
**INTERCOLLEGiate ATHLETIC PROGRAMS**  
**For the Year Ended June 30, 2015**

	Football	Men's Basketball	Women's Basketball	Other* Sports	Non-Program Specific	Total
<b>Operating revenues:</b>						
Student fees					\$12,491,579	\$ 12,491,579
Contributions (Note 2)	\$ 5,886,538	\$ 787,158	\$ 133,533	\$ 2,217,406	295,139	9,319,774
Gifts in kind	28,659	19,617	1,680	10,040	8,112	68,108
Endowment and investment income (Note 3)	1,082,308	212,611	126,579	860,277	89,983	2,371,758
Ticket sales	811,870	184,529	8,872	28,310	-	1,033,581
Guarantees	358,985	242,600	2,000	27,350	-	630,935
Direct institutional support	-	-	-	55,000	-	55,000
Indirect facilities and administrative support	497,752	36,305	42,973	419,052	107,913	1,103,995
NCAA/conference distributions	204,495	277,072	75,216	619,040	193,732	1,369,555
Broadcast, television, radio & internet rights	-	-	-	-	1,510	1,510
Program sales, concessions, novelty sales & parking	115,245	9,012	1,144	356	184	125,941
Royalties, advertisements and sponsorships	277,829	77,786	42,583	348,392	238,197	984,787
Sports camp revenues	-	-	-	4,557	34,253	38,810
Other	11,075	737	348	269,474	168,440	450,074
Subtotal operating revenues	9,274,756	1,847,427	434,928	4,859,254	13,629,042	30,045,407
<b>Operating expenses:</b>						
Athletics student aid	2,508,926	637,372	615,534	4,069,001	12,500	7,843,333
Guarantees	90,000	8,230	-	2,905	-	101,135
Coaching salaries, benefits, & bonuses paid by the College and related entities	1,188,638	725,555	442,025	2,078,445	6,392	4,441,055
Support staff/administrative salaries, benefits, and bonuses paid by the College and related entities	57,596	42,560	47,157	5,180	3,435,866	3,588,359
Severance payments	-	-	-	-	28,000	28,000
Recruiting	134,525	87,946	64,306	152,529	441	439,747
Team travel	428,849	224,839	158,849	1,309,562	2,080	2,124,179
Equipment, uniforms and supplies	258,475	41,924	32,898	594,886	57,422	985,605
Game expenses	235,676	140,248	81,028	292,627	-	749,579
Fund raising, marketing and promotion	492	1,337	556	5,705	610,466	618,556
Direct facilities, maintenance and rental	4,454,175	-	-	1,888,821	123,232	6,466,228
Spirit groups	-	-	-	-	49,239	49,239
Indirect facilities and administrative support	18,395	36,305	42,973	48,111	107,913	253,697
Medical expenses and medical insurance	-	-	-	1,083	430,035	431,118
Athletic facilities debt service	479,357	-	-	370,941	-	850,298
Memberships and dues	-	1,095	754	9,854	97,101	108,804
Other operating expenses	55,833	37,765	29,742	93,050	745,680	962,070
Subtotal operating expenses	<u>\$ 9,910,937</u>	<u>\$ 1,985,176</u>	<u>\$ 1,515,822</u>	<u>\$ 10,922,700</u>	<u>\$ 5,706,367</u>	<u>\$ 30,041,002</u>
Excess (deficiency) of revenues over (under) expenses						4,405

\* Other sports include baseball, field hockey, golf, gymnastics, lacrosse, soccer, swimming, tennis, track and field, and volleyball.

The accompanying notes are an integral part of this schedule.

THE COLLEGE OF WILLIAM AND MARY  
NOTES TO SCHEDULE OF REVENUES AND EXPENSES OF  
INTERCOLLEGIATE ATHLETIC PROGRAMS  
AS OF JUNE 30, 2015

**1. BASIS OF PRESENTATION**

The accompanying Schedule of Revenues and Expenses of Intercollegiate Athletic Programs has been prepared on the accrual basis of accounting. The purpose of the schedule is to present a summary of revenues and expenses of the Intercollegiate Athletics Programs of the College for the year ended June 30, 2015, and includes both those intercollegiate athletics revenues and expenses under the direct accounting control of the College and those on behalf of the College's Intercollegiate Athletics Programs by outside organizations not under the College's control. Because the Schedule presents only a selected portion of the College's activities, it is not intended to, and does not present the financial position, changes in financial position, or cash flows for the year ended June 30, 2015. Revenues and expenses directly identifiable with each category of sport are presented and reported accordingly. Revenues and expenses not directly identifiable to a specific sport are reported under the category "Non-Program Specific."

**2. CONTRIBUTIONS**

The Athletic Educational Foundation (AEF) of the College of William and Mary in Virginia, Incorporated, also referred to as the Tribe Club, raises funds and collects contributions for the benefit of the Intercollegiate Athletics Department. The College received \$4,236,525 from the AEF during the year ended June 30, 2015.

The AEF receives directly from various individuals and businesses donations in the form of goods or services for the athletic program. The College received \$5,151,357 from individuals and businesses in donations during the year ended June 30, 2015, including \$4,960,343 through the College of William and Mary Foundation for capital improvements to Zable Stadium which serves the Football and Men's and Women's Track programs.

**3. ENDOWMENT AND INVESTMENT INCOME**

The College of William and Mary Foundation is authorized to receive and administer gifts and bequests of all kinds. The Foundation makes such resources available to the College, which may be drawn as needed by the College within the Foundation's budgetary restrictions. The College received \$2,371,758 of endowment and investment income from the Foundation for the benefit of the Intercollegiate Athletics Department for the year ended June 30, 2015.

#### 4. CAPITAL ASSETS

Capital assets are recorded at historical cost at the date of acquisition or fair market value at the date of donation in the case of gifts. Construction expenses for capital assets and improvements are capitalized when expended. The College's capitalization policy on equipment includes all items with an estimated useful life of two years or more. The William and Mary campus capitalizes all items with a unit price greater than or equal to \$5,000.

Depreciation is computed using the straight-line method over the estimated useful lives of the respective assets as follows:

Buildings	40-50 years
Improvements other than Buildings	10-50 years
Infrastructure	10-50 years
Equipment	2-30 years
Library Books	10 years

A summary of the capital asset ending balances net of accumulated depreciation for the year ending June 30, 2015 is as follows:

Depreciable capital assets:	
Buildings	\$ 30,452,651
Improvements other than Buildings	1,051,718
Infrastructure	2,628,105
Equipment	<u>2,983,194</u>
 Total depreciable capital assets	<u>37,115,668</u>
 Less Accumulated depreciation for:	
Buildings	11,369,270
Improvements other than Buildings	503,469
Infrastructure	2,478,638
Equipment	<u>2,047,116</u>
 Total accumulated depreciation	<u>16,398,493</u>
 Total capital assets, net	<u>\$ 20,717,175</u>

## 5. LONG-TERM DEBT

Long-term debt relating to intercollegiate athletics is shown below.

<u>Description</u>	Interest Rates (%)	Maturity	Balance as of June 30, 2015	% used by Athletics	Athletics Balance June 30, 2015
Section 9(d) Bonds:					
William and Mary Hall, Series 2007B	4.000- 4.250	2018	165,000	85%	\$ 140,250
William and Mary Hall, Series 2014B	3.000 - 5.000	2017	285,000	85%	242,250
Recreation Sports Center, Series 2005A	3.500 - 5.000	2016	120,000	15%	18,000
Recreation Sports Center, Series 2010B	2.000 - 5.000	2021	220,000	15%	33,000
Recreation Sports Center, Series 2012A	3.000 - 5.000	2024	270,000	15%	40,500
Recreation Sports Center, Series 2012A	3.000 - 5.000	2025	4,585,000	15%	687,750
Recreation Sports Center, Series 2012A	3.000 - 5.000	2025	1,225,000	15%	183,750
Recreation Sports Center, Series 2014B	4.000 - 5.000	2026	310,000	15%	46,500
Improve Athletics Facilities, Series 2005A	3.500 - 5.000	2016	165,000	100%	165,000
Improve Athletics Facilities, Series 2006A	3.000 - 5.000	2027	240,000	100%	240,000
Improve Athletics Facilities, Series 2012A	3.000 - 5.000	2025	1,655,000	100%	1,655,000
Improve Athletics Facilities, Series 2014B	4.000 - 5.000	2026	425,000	100%	425,000
Improve Athletics Facilities, Series 2014B	5.000	2024	280,000	100%	280,000
Improve Athletics Facilities II, Series 2013A&B	2.000 - 5.000	2034	1,555,000	100%	1,555,000
J. Laycock Football Facility, Series 2006A	3.000 - 5.000	2027	1,725,000	100%	1,725,000
J. Laycock Football Facility, Series 2014B	5.000	2024	2,100,000	100%	2,100,000
Busch Field Astroturf Replacement, Series 2009B	2.000 - 5.000	2030	1,190,000	100%	<u>1,190,000</u>
Total					<u>\$ 10,727,000</u>

Long-term debt matures as follows:

<u>Year Ended</u>	<u>Principal</u>	<u>Interest</u>
2016	757,750	464,328
2017	790,750	427,081
2018	818,000	387,388
2019	710,750	350,345
2020	741,000	315,677
2021-2025	4,310,250	988,011
2026-2030	2,168,500	227,368
2031-2035	<u>430,000</u>	<u>35,400</u>
Total	<u>\$ 10,727,000</u>	<u>\$ 3,195,598</u>

## 6. INDIRECT COSTS

The College recovers a percentage of each auxiliary enterprise's expenses, including athletics, to cover overhead costs such as utilities and custodial services. In the fiscal year ended June 30, 2015 the overhead rate charged to athletics and other auxiliary enterprise was 25.63% percent. This amount is included in other operating expenses, under the category "Non-Program Specific."

**THE COLLEGE OF WILLIAM & MARY**  
**2015-2016 OPERATING BUDGET SUMMARY**

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	<b>2013-14 Actual</b>	<b>2014-2015 Actual</b>	<b>Approved 2015-2016 Budget</b>	<b>2015-2016 Year-to-Date 9/30/15</b>
CASH CARRYFORWARD	\$ 461,488	\$ 1,457,852		
<b>REVENUE</b>				
General Funds				
Educational/General	\$ 40,641,662	\$ 39,724,906	\$ 41,380,235	\$ 9,974,164
Student Aid	4,019,711	4,005,811	4,209,422	4,209,422
Sponsored Programs	75,000	75,000	100,000	-0-
Nongeneral Funds				
Educational/General	124,640,830	132,148,391	139,989,171	69,059,991
Student Aid	21,505,774	23,854,227	25,701,063	25,701,063
Auxiliary Enterprise	94,708,854	100,854,500	104,736,525	44,055,269
Sponsored Programs	30,095,304	30,030,182	31,850,000	10,193,738
Private Funds	11,547,138	12,301,962	15,087,937	1,862,498
<b>Total Revenue</b>	<b>\$ 327,234,273</b>	<b>\$ 342,993,979</b>	<b>\$ 363,054,353</b>	<b>\$ 165,056,145</b>
<b>EXPENDITURES</b>				
Instruction	\$ 93,758,706	\$ 98,235,633	\$ 104,408,123	\$ 28,413,794
Research	1,498,348	1,432,020	1,648,616	467,533
Public Service	55,524	56,556	63,206	4,022
Academic Support	26,261,665	28,354,558	29,717,207	7,971,470
Student Services	8,023,809	8,182,367	8,741,037	2,431,681
Institutional Support	26,206,743	30,244,325	30,048,573	9,964,683
Plant Operations	17,318,010	16,743,301	18,394,603	5,653,167
Student Aid	28,293,639	31,650,481	34,102,422	32,413,484
Auxiliary Enterprise	93,121,777	95,962,756	98,941,913	27,736,460
Sponsored Programs	30,170,304	30,105,182	31,950,000	10,193,738
<b>Total Expenditures</b>	<b>\$ 324,708,525</b>	<b>\$ 340,967,179</b>	<b>\$ 358,015,700</b>	<b>\$ 125,250,032</b>

**The College of William and Mary  
Education and General  
2015-2016 Operating Budget Summary**

	<u>2013-2014 Actual</u>	<u>2014-2015 Actual</u>	<u>Approved 2015-2016 Budget</u>	<u>2015-2016 Year-to-Date 9/30/15</u>
<b>CASH CARRYFORWARD</b>	\$461,488	\$1,457,852	\$0	\$0
<b>REVENUE:</b>				
General Funds	\$40,641,662	\$39,724,906	\$41,380,235	\$9,974,164
Nongeneral Funds	124,640,830	132,148,391	139,989,171	69,059,991
<b>Total Revenue</b>	<b>\$165,282,492</b>	<b>\$171,873,297</b>	<b>\$181,369,406</b>	<b>\$79,034,155</b>
<b>AVAILABLE FUNDS</b>	<b>\$165,743,980</b>	<b>\$173,331,149</b>	<b>\$181,369,406</b>	<b>\$79,034,155</b>
<b>EXPENDITURES:</b>				
Instruction	\$93,052,905	\$97,355,757	\$103,252,226	\$28,132,963
Research	938,257	803,613	1,053,540	292,512
Public Service	7,846	7,888	8,021	3,355
Academic Support	25,531,822	26,985,292	28,473,791	7,212,978
Student Services	7,853,693	8,031,604	8,582,026	2,396,729
Institutional Support	19,596,203	21,991,544	21,646,126	7,100,551
Plant Operations	17,368,806	16,736,815	18,353,676	5,617,078
<b>Total Expenditures</b>	<b>\$164,349,532</b>	<b>\$171,912,513</b>	<b>\$181,369,406</b>	<b>\$50,756,166</b>

**The College of William and Mary  
Student Financial Assistance\*  
2015-2016 Operating Budget Summary**

	<u>2013-2014 Actual</u>	<u>2014-2015 Actual</u>	<u>Approved 2015-2016 Budget</u>	<u>2015-2016 Year-to-Date 9/30/15</u>
<b>REVENUE:</b>				
General Funds	\$4,019,711	\$4,005,811	\$4,209,422	\$4,209,422
Nongeneral Funds	21,505,774	23,854,227	25,701,063	25,701,063
Auxiliary Enterprises	0	900,000	900,000	900,000
<b>Total Revenue</b>	<b>\$25,525,485</b>	<b>\$28,760,038</b>	<b>\$30,810,485</b>	<b>\$30,810,485</b>
<b>EXPENDITURES:</b>				

\* Excludes student financial assistance support included in Board of Visitors private fund budget.

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**The College of William and Mary  
Education and General  
2015-2016 Operating Budget Summary**

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	<u>2013-2014 Actual</u>	<u>2014-2015 Actual</u>	<u>Approved 2015-2016 Budget</u>	<u>2015-2016 Year-to-Date 9/30/15</u>
<b>CASH CARRYFORWARD</b>	\$461,488	\$1,457,852	\$0	\$0
<b>REVENUE</b>				
General Funds	\$40,641,662	\$39,724,906	\$41,380,235	\$9,974,164
Nongeneral Funds	124,640,830	\$132,148,391	139,989,171	69,059,991
<b>TOTAL REVENUE</b>	\$165,282,492	\$171,873,297	\$181,369,406	\$79,034,155
<b>AVAILABLE FUNDS</b>	<b>\$165,743,980</b>	<b>\$173,331,149</b>	<b>\$181,369,406</b>	<b>\$79,034,155</b>
<b>EXPENDITURES</b>				
<u>Instruction</u>				
Personal Services	\$86,264,296	\$90,342,652	\$95,221,324	\$26,363,746
Contractual Services	3,500,052	3,119,977	3,774,831	778,332
Supplies and Materials	844,781	978,668	1,043,075	267,707
Transfer Payments	1,687,346	1,471,689	1,184,728	157,115
Continuous Charges	460,761	510,180	477,757	111,931
Property & Improvements	15,631	28,120	100,000	439,914
Equipment	280,038	904,471	1,450,511	14,218
<b>TOTAL</b>	<b>\$93,052,905</b>	<b>\$97,355,757</b>	<b>\$103,252,226</b>	<b>\$28,132,963</b>

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	<u>2013-2014 Actual</u>	<u>2014-2015 Actual</u>	<u>Approved 2015-2016 Budget</u>	<u>2015-2016 Year-to-Date 9/30/15</u>
<b><u>Research</u></b>				
Personal Services	\$646,173	\$751,158	\$781,905	\$280,042
Contractual Services	69,732	26,407	70,850	9,469
Supplies and Materials	19,187	2,291	520	1,256
Transfer Payments	193,888	14,154	194,965	0
Continuous Charges	944	192	300	0
Property & Improvements	0	0	0	0
Equipment	8,333	9,411	5,000	1,746
<b>TOTAL</b>	<b>\$938,257</b>	<b>\$803,613</b>	<b>\$1,053,540</b>	<b>\$292,512</b>
<b><u>Public Service</u></b>				
Personal Services	\$0	\$0	\$760	\$0
Contractual Services	4,316	5,372	5,784	2,815
Supplies and Materials	0	16	477	0
Continuous Charges	3,000	2500	1,000	0
Equipment	530	0	0	540
<b>TOTAL</b>	<b>\$7,846</b>	<b>\$7,888</b>	<b>\$8,021</b>	<b>\$3,355</b>

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	<u>2013-2014 Actual</u>	<u>2014-2015 Actual</u>	<u>Approved 2015-2016 Budget</u>	<u>2015-2016 Year-to-Date 9/30/15</u>
<b>Academic Support</b>				
LIBRARIES:				
Personal Services	\$5,603,617	\$5,906,938	\$6,316,543	\$1,704,203
Contractual Services	652,461	689,998	926,061	154,839
Supplies and Materials	56,794	62,802	38,658	10,590
Continuous Charges	3,194	12,273	5,000	760
Property & Improvements	0	\$23,970	0	2,209
Equipment	3,866,024	4,072,673	3,845,809	620,801
<b>TOTAL</b>	<b>\$10,182,090</b>	<b>\$10,768,654</b>	<b>\$11,132,071</b>	<b>\$2,493,402</b>
<b>OTHER ACAD. SUPPORT:</b>				
Personal Services	\$12,517,997	\$12,968,622	\$14,202,388	\$4,083,741
Contractual Services	1,699,470	1,828,350	2,127,795	363,226
Supplies and Materials	119,105	123,114	92,701	33,272
Transfer Payments	166,910	98,568	123,506	27,606
Continuous Charges	140,453	257,832	140,167	112,576
Property & Improvements	820	1072	0	416
Equipment	704,977	939,080	655,163	98,739
<b>TOTAL</b>	<b>\$15,349,732</b>	<b>\$16,216,638</b>	<b>\$17,341,720</b>	<b>\$4,719,576</b>
<b>TOTAL ACADEMIC SUPPORT</b>	<b>\$25,531,822</b>	<b>\$26,985,292</b>	<b>\$28,473,791</b>	<b>\$7,212,978</b>

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	<u>2013-2014 Actual</u>	<u>2014-2015 Actual</u>	<u>Approved 2015-2016 Budget</u>	<u>2015-2016 Year-to-Date 9/30/15</u>
<b><u>Student Services</u></b>				
Personal Services	\$6,309,076	\$6,569,256	\$7,332,547	\$1,975,737
Contractual Services	1,232,050	1,070,495	930,655	251,270
Supplies and Materials	177,860	157,430	155,059	55,095
Transfer Payments	51,444	116,158	69,039	71,300
Continuous Charges	18,599	17,935	4,150	14,825
Property & Improvements	0	8	0	360
Equipment	64,664	100,322	90,576	28,142
<b>TOTAL</b>	<b>\$7,853,693</b>	<b>\$8,031,604</b>	<b>\$8,582,026</b>	<b>\$2,396,729</b>
<b><u>Institutional Support</u></b>				
Personal Services	\$15,779,856	\$17,210,092	\$18,073,121	\$5,341,696
Contractual Services	2,210,560	3,346,772	2,537,509	851,481
Supplies and Materials	305,093	290,911	169,216	73,345
Transfer Payments	114,537	284,188	72,490	12,887
Continuous Charges	700,181	522,678	569,319	680,568
Property & Improvements	397	26,285	0	65,955
Equipment	485,579	310,618	224,471	74,619
<b>TOTAL</b>	<b>\$19,596,203</b>	<b>\$21,991,544</b>	<b>\$21,646,126</b>	<b>\$7,100,551</b>

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	<u>2013-2014 Actual</u>	<u>2014-2015 Actual</u>	<u>Approved 2015-2016 Budget</u>	<u>2015-2016 Year-to-Date 9/30/15</u>
<b>Plant Operations</b>				
Personal Services	\$2,333,968	\$2,041,566	\$6,495,809	\$876,340
Contractual Services	8,113,810	8,407,498	5,627,591	2,609,408
Supplies and Materials	1,433,009	1,580,259	1,631,635	243,849
Transfer Payments	3,862	9,504	0	909
Continuous Charges	5,191,922	4,458,140	4,264,182	1,786,918
Property & Improvements	97,802	83,140	104,575	29,720
Equipment	194,433	156,708	229,884	69,935
<b>TOTAL</b>	<b>\$17,368,806</b>	<b>\$16,736,815</b>	<b>\$18,353,676</b>	<b>\$5,617,078</b>
<b>E&amp;G PROGRAM TOTAL</b>				
	<b>\$164,349,532</b>	<b>\$171,912,513</b>	<b>\$181,369,406</b>	<b>\$50,756,166</b>

The College of William and Mary  
 Auxiliary Enterprise  
2015-2016 Operating Budget Summary

	<u>2013-2014 Actual</u>	<u>2014-2015 Actual</u>	<u>Approved Budget</u>	<u>2015-2016 Budget</u>	<u>2015-2016 YTD 9-30-15</u>
<b>REVENUE</b>					
Residence Life	\$28,266,065	\$30,703,126	\$32,604,000	\$15,952,266	
Food Service	18,030,997	20,188,593	20,878,319	9,954,474	
Telecom/Network	3,607,724	3,641,432	3,579,449	1,511,604	
Student Unions	2,998,290	3,042,304	2,902,600	1,420,495	
W&M Hall	2,390,203	2,412,797	2,473,400	1,143,141	
Athletics	21,711,969	23,511,394	24,252,108	6,915,758	
Other	17,703,606	17,354,854	18,046,649	7,157,531	
<b>Total Revenue</b>	<b>\$94,708,854</b>	<b>\$100,854,500</b>	<b>\$104,736,525</b>	<b>\$44,055,269</b>	
<b>EXPENDITURES</b>					
Residence Life	\$28,065,518	\$28,525,800	\$32,604,000	\$8,553,448	
Food Service	16,438,554	16,483,638	15,920,976	2,856,121	
Telecom/Network	3,688,893	3,709,596	3,489,914	502,406	
Student Unions	2,852,819	3,021,197	2,902,600	965,403	
W&M Hall	1,973,500	2,189,270	2,473,400	818,113	
Athletics	21,620,518	23,183,395	24,236,338	8,306,526	
Other	18,481,975	18,849,860	17,314,685	5,734,443	
<b>Total Expenditures</b>	<b>\$93,121,777</b>	<b>\$95,962,756</b>	<b>\$98,941,913</b>	<b>\$27,736,460</b>	

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**The College of William and Mary  
Sponsored Programs  
2015-2016 Operating Budget Summary**

	<u>2013-2014</u>	<u>2014-2015</u>	<u>Approved 2015-2016 Budget</u>	<u>2015-2016 YTD 9-30-15</u>
<b>REVENUE</b>				
General Fund	\$75,000	\$75,000	\$100,000	\$0
Nongeneral Fund	<u>30,095,304</u>	<u>30,030,182</u>	<u>31,850,000</u>	<u>10,193,738</u>
Total Revenue	\$30,170,304	\$30,105,182	\$31,950,000	\$10,193,738
<b>EXPENDITURES</b>				
	\$30,170,304	\$30,105,182	\$31,950,000	\$10,193,738

**THE COLLEGE OF WILLIAM & MARY**  
**2015-2016 PRIVATE FUNDS BUDGET SUMMARY**

	2013-2014 Actual	2014-2015 Actual	Approved 2015-2016 Budget	2015-2016 Year-to-Date 9/30/15
<b>REVENUE:</b>				
Distributed Endowment Income	\$2,649,604	\$2,895,992	\$3,266,937	\$815,112
Administrative Overhead Allocation	200,000	300,000	300,000	75,000
Transfers from Other Sources	146,668	205,877	305,000	130,920
Interest on Cash Balances	404,803	222,464	220,000	94,925
Annual Gifts	7,490,620	7,585,622	8,600,000	712,740
Drawdown from BOV Quasi Endowment	0	0	1,350,000	0
Distribution from External Trusts	33,409	38,621	36,000	12,037
Other Revenue	622,034	1,052,386	1,010,000	21,764
<b>Total Revenue</b>	<b>\$11,547,138</b>	<b>\$12,300,962</b>	<b>\$15,087,937</b>	<b>\$1,862,498</b>
<b>EXPENDITURES:</b>				
Instruction	\$705,801	\$879,876	\$1,155,897	\$280,831
Research	560,091	628,407	595,076	175,021
Public Service	47,678	48,668	55,185	667
Academic Support	729,843	1,369,266	1,243,416	758,492
Student Services	170,116	150,763	159,011	34,952
Institutional Support	6,610,540	8,252,781	8,402,447	2,864,132
Plant: Operations & Capital Improvements	(50,796)	6,486	40,927	36,089
Student Aid	2,768,154	2,890,443	3,291,937	1,602,999
<b>Total Expenditures</b>	<b>\$11,541,427</b>	<b>\$14,226,690</b>	<b>\$14,943,896</b>	<b>\$5,753,183</b>

**VIRGINIA INSTITUTE OF MARINE SCIENCE**  
**2015-2016 OPERATING BUDGET SUMMARY**

Board of Visitors

November 18-20, 2015

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	<u>2013-2014</u>	<u>2014-2015</u>	<u>2015-2016</u>	<u>2015-2016</u>
	<u>Actual</u>	<u>Actual</u>	<u>Budget</u>	<u>Year-to-Date</u> <u>9/30/15</u>
<b>REVENUE</b>				
General Fund	\$18,543,127	\$18,886,292	\$19,849,593	\$5,659,518
Nongeneral Funds				
Educational/General	1,690,439	1,762,757	1,859,272	111,827
Eminent Scholars	69,505	78,948	82,744	0
Sponsored Programs	<u>20,495,957</u>	<u>23,174,854</u>	<u>22,500,000</u>	<u>6,153,437</u>
<b>Total Revenue</b>	<b>\$40,799,028</b>	<b>\$43,902,850</b>	<b>44,291,609</b>	<b>\$11,924,782</b>
<b>EXPENDITURES</b>				
Instruction	\$1,083,091	\$1,328,796	\$1,218,443	\$410,097
Research and Advisory Services	7,817,382	8,593,009	9,033,807	2,895,788
Academic Support	4,777,468	4,313,766	5,004,705	1,506,780
Institutional Support	2,206,861	2,299,618	2,249,580	1,042,841
Plant Operations	4,028,066	3,843,299	4,043,535	1,120,027
Student Financial Assistance	242,645	241,540	241,540	15,800
Sponsored Programs/Eminent Scholars	<u>20,565,462</u>	<u>23,216,498</u>	<u>22,500,000</u>	<u>6,153,437</u>
<b>Total Expenditures</b>	<b>\$40,720,976</b>	<b>\$43,836,525</b>	<b>\$44,291,609</b>	<b>\$13,144,769</b>

Investment Portfolio Evaluation For  
Periods Ending September 30, 2015:



Board of Visitors Endowment

Contents

- I. Executive Summary
- II. Equity Sector Review
- III. Fixed Income Sector Review
- IV. Green Fund Update

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# Capital Markets Review

For Periods Ending September 30, 2015

Index Name	1	3	5	10	3Q15 YTD	1 year	3 years	5 years	years
Dow Jones Industrial Average	(7.0)	(7.0)	9.3	11.4	7.2				
S&P 500	(6.4)	(5.3)	(0.6)	12.4	13.3	6.8			
Russell 1000	(6.8)	(5.2)	(0.6)	12.7	13.4	7.0			
Russell 1000 Value	(8.4)	(9.0)	(4.4)	11.6	12.3	5.7			
Russell 1000 Growth	(5.3)	(1.5)	3.2	13.6	14.5	8.1			
Russell Midcap	(8.0)	(5.8)	(0.3)	13.9	13.4	7.9			
Russell Midcap Value	(8.0)	(7.7)	(2.1)	13.7	13.2	7.4			
Russell Midcap Growth	(8.0)	(4.2)	1.5	14.0	13.6	8.1			
Russell 2000	(11.9)	(7.7)	1.3	11.0	11.7	6.6			
Russell 2000 Value	(10.7)	(10.1)	(1.6)	9.2	10.2	5.4			
Russell 2000 Growth	(13.1)	(5.5)	4.0	12.9	13.3	7.7			
Russell 3000	(7.3)	(5.5)	(0.5)	12.5	13.3	6.9			
MSCI EAFE Index	(10.2)	(4.9)	(8.3)	6.1	4.5	3.4			
MSCI World Index	(8.3)	(5.6)	(4.6)	9.2	8.9	5.3			
MSCI World Ex. US Index	(10.5)	(6.3)	(9.7)	5.1	3.9	3.4			
MSCI ACWI	(9.3)	(6.7)	(6.2)	7.5	7.4	5.1			
MSCI ACWI ex USA	(12.1)	(8.3)	(11.8)	2.8	2.3	3.5			
MSCI EM (EMERGING MARKETS)	(17.8)	(15.2)	(19.0)	(4.9)	(3.3)	4.6			
MSCI FM (FRONTIER MARKETS)	(10.5)	(13.0)	(23.9)	6.7	2.6	(1.8)			
Barclays U.S. Aggregate	1.2	1.1	2.9	1.7	3.1	4.6			
Barclays U.S. Government/Credit	1.2	0.9	2.7	1.6	3.1	4.6			
Barclays Intermediate U.S. Government/Credit	1.0	1.8	2.7	1.5	2.4	4.2			
Barclays Municipal Bond	1.7	1.8	3.2	2.9	4.1	4.6			
BofA Merrill Lynch Convertible Securities	(7.2)	(3.8)	(2.5)	10.4	9.3	7.0			
BofA Merrill Lynch High Yield Master	(4.9)	(2.5)	(3.5)	3.4	5.9	7.0			
Citigroup World Government Bond Index	1.7	(2.4)	(3.8)	(2.9)	(0.2)	3.4			
JPM EMBI Global Diversified	(1.7)	(0.1)	(0.6)	1.5	4.7	6.9			
Citigroup 3-month T-bill	0.0	0.0	0.0	0.0	0.1	1.3			
HFRI Fund of Funds Composite Index	(2.9)	(0.4)	0.6	4.4	2.8	2.5			
FTSE Nareit All REITs	0.8	(4.5)	7.4	8.6	11.7	6.3			
Dow UBS Commodity Index	(14.5)	(15.8)	(26.0)	(16.0)	(8.9)	(5.7)			

Data Sources: Zephyr StyleAdvisor & Barclay's Capital

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**Economy/Capital Markets:** U.S. GDP growth rebounded more than expected in the second quarter, rising by an annualized rate of 3.9%. Consumer spending was strong, climbing 3.6% while residential investment jumped 9.3%, and non-residential fixed investment rose 4.1%. Inflation has been firming lately but remains well below the Federal Reserve's target of 2.0%. Headline Consumer Price Index (CPI) rose 0.1% in July and 0.2% year-over-year. Core prices rose 1.8% year-over-year through quarter-end. The Institute for Supply Management (ISM) Manufacturing survey slid to 50.2 points in September, while the Services survey fell to 56.9 points. Within the Manufacturing survey, new orders came in at one of the slowest rates of the recovery; within the Services survey, new orders slowed somewhat, while employment strengthened. Both surveys continue to indicate economic expansion.

September began with the possibility of a liftoff in the federal funds rate and Fed guidance around future rate increases, but ended with a delay in both. The combination of Fed inaction, weak forward guidance, global growth concerns and equity-market volatility fueled gains in higher-quality debt and declines in risk assets. US Treasury, investment-grade corporate debt, and high quality municipals all performed well. The intermediate part of the yield curve slightly outperformed the curve's short and long ends as the 2- to 10-year yield spread flattened. High yield debt declined 2.6% on concerns over softening global growth. HY performance challenges expanded from metals, mining and energy to include the media, telecom, and pharmaceutical sectors.

Equity markets around the globe struggled to regain their footing after the August sell-off, ending September with further declines and capping the worst quarter for stocks since the third quarter of 2011. Growing concerns over global economic growth and continued uncertainty over Fed actions were the primary contributors. Although domestic large-cap stocks started to rally late in the month, the S&P 500 Index ended with a decline of 2.5%. Commodity-related stocks led declines as the energy and materials sectors both dropped by more than 6.0%. Small- and mid-cap stocks trailed large-cap stocks by a significant margin with both indices now trail the S&P 500 on a year-to-date basis. International developed markets declined broadly. All of the major countries in the MSCI EAFE index declined, led by Spain, Japan and Germany. On a relative basis, emerging markets were the best-performing equity class in September. South Korea and India were in slightly positive territory, while Brazil fell nearly 12%.

		% of Account	\$ Value		3q15	One Year	Three Years <sup>1</sup>	Five Years <sup>1</sup>	Seven Years <sup>1</sup>	Ten Years <sup>1</sup>	Changes (1/1/03)	Incept (Mgr)	Incept Bench
<b>100%</b>	<b>\$ 75,138,394</b>			<b>Total BOV Account</b>	<b>(6.6)</b>	<b>6.2</b>	<b>6.4</b>	<b>6.5</b>	<b>4.9</b>	<b>7.6</b>	<b>6.9</b>	<b>6.9</b>	<b>6.9</b>
				<b>Target Benchmark<sup>2</sup></b>	<b>(4.7)</b>	<b>6.9</b>	<b>7.7</b>	<b>7.0</b>	<b>5.5</b>	<b>7.8</b>			
				<b>Policy Benchmark<sup>3</sup></b>	<b>(4.2)</b>	<b>0.0</b>	<b>7.2</b>	<b>7.9</b>	<b>7.1</b>	<b>5.4</b>	<b>7.4</b>		
7.3%	\$ 5,475,387			<b>Blackrock: Large Cap Value</b>	<b>(6.8)</b>	<b>(1.5)</b>	<b>12.9</b>	<b>11.8</b>	<b>7.4</b>	<b>—</b>	<b>—</b>	<b>4.5</b>	<b>5.2</b>
				Russell 1000 Value	(8.4)	(4.4)	11.6	12.3	8.2	—	—		
7.3%	\$ 5,452,665			<b>Goldman Sachs</b>	<b>(6.9)</b>	<b>(0.3)</b>	<b>—</b>	<b>—</b>	<b>—</b>	<b>—</b>	<b>—</b>	<b>8.7</b>	<b>10.2</b>
				S&P 500	(6.4)	(0.6)	—	—	—	—	—		
6.1%	\$ 4,593,370			<b>Wells Fargo: Mid Cap Growth</b>	<b>(11.6)</b>	<b>2.2</b>	<b>11.7</b>	<b>13.6</b>	<b>11.6</b>	<b>—</b>	<b>—</b>	<b>8.5</b>	<b>7.3</b>
				Russell MidCap Growth	(8.0)	1.5	14.0	13.6	12.1	—	—		
6.1%	\$ 4,552,714			<b>Artisan Mid Cap Value</b>	<b>(10.0)</b>	<b>(8.5)</b>	<b>8.9</b>	<b>10.0</b>	<b>—</b>	<b>—</b>	<b>—</b>	<b>15.5</b>	<b>19.8</b>
				Russell MidCap Value	(8.0)	(2.1)	13.7	13.2	—	—	—		
6.3%	\$ 4,714,609			<b>Royce: Small-Cap</b>	<b>(15.5)</b>	<b>(9.6)</b>	<b>8.8</b>	<b>9.2</b>	<b>8.8</b>	<b>6.2</b>	<b>11.1</b>	<b>11.1</b>	<b>10.1</b>
				Russell 2000	(11.9)	1.3	11.0	11.7	8.6	6.6	10.1		
6.6%	\$ 4,947,348			<b>Dodge &amp; Cox International</b>	<b>(15.4)</b>	<b>(16.2)</b>	<b>6.6</b>	<b>—</b>	<b>—</b>	<b>—</b>	<b>—</b>	<b>6.6</b>	<b>6.4</b>
7.5%	\$ 5,630,652			<b>MFS International</b>	<b>(4.5)</b>	<b>—</b>	<b>—</b>	<b>—</b>	<b>—</b>	<b>—</b>	<b>—</b>	<b>1.5</b>	<b>(8.3)</b>
5.2%	\$ 3,893,689			<b>State Street: Emerging Markets</b>	<b>(17.6)</b>	<b>(18.3)</b>	<b>(5.1)</b>	<b>(3.8)</b>	<b>1.4</b>	<b>3.4</b>	<b>10.2</b>	<b>10.2</b>	<b>11.2</b>
				MSCI EM (Emerging Markets)	(17.8)	(19.0)	(4.9)	(3.3)	2.9	4.6	—		
13.3%	\$ 9,969,412			<b>Pioneer Strategic Income</b>	<b>(1.5)</b>	<b>(0.8)</b>	<b>2.6</b>	<b>4.4</b>	<b>—</b>	<b>—</b>	<b>—</b>	<b>5.7</b>	<b>4.1</b>
13.3%	\$ 10,021,682			<b>Dodge &amp; Cox Income Fund</b>	<b>(0.8)</b>	<b>0.2</b>	<b>—</b>	<b>—</b>	<b>—</b>	<b>—</b>	<b>—</b>	<b>2.0</b>	<b>3.3</b>
				Barclays U.S. Aggregate	1.2	2.9	1.7	3.1	4.9	4.6	—		
5.5%	\$ 4,158,244			<b>GMO: Global Fixed Inc</b>	<b>1.6</b>	<b>(3.5)</b>	<b>(0.1)</b>	<b>2.8</b>	<b>4.8</b>	<b>4.0</b>	<b>5.3</b>	<b>5.3</b>	<b>4.1</b>
				Citigroup World Govt Bond Index	1.7	(3.8)	(2.9)	(0.2)	2.4	3.4	4.1		
5.1%	\$ 3,867,120			<b>GMO: Emerging Mkt Fixed Inc</b>	<b>(3.4)</b>	<b>(5.7)</b>	<b>2.5</b>	<b>7.2</b>	<b>10.5</b>	<b>8.4</b>	<b>11.8</b>	<b>11.8</b>	<b>8.7</b>
				JPM/EMBI Global Diversified	(1.7)	(0.6)	1.5	4.7	8.2	6.9	8.7		
10.0%	\$ 7,482,135			<b>Combined Alternatives (1 mo lag)</b>	<b>(2.9)</b>	<b>3.1</b>	<b>3.8</b>	<b>2.8</b>	<b>—</b>	<b>—</b>	<b>—</b>	<b>2.5</b>	<b>3.2</b>
				HFR1FOFs Index (1 mo lag)	(2.8)	1.6	3.5	3.2	—	—	—		

<sup>1</sup> Annualized

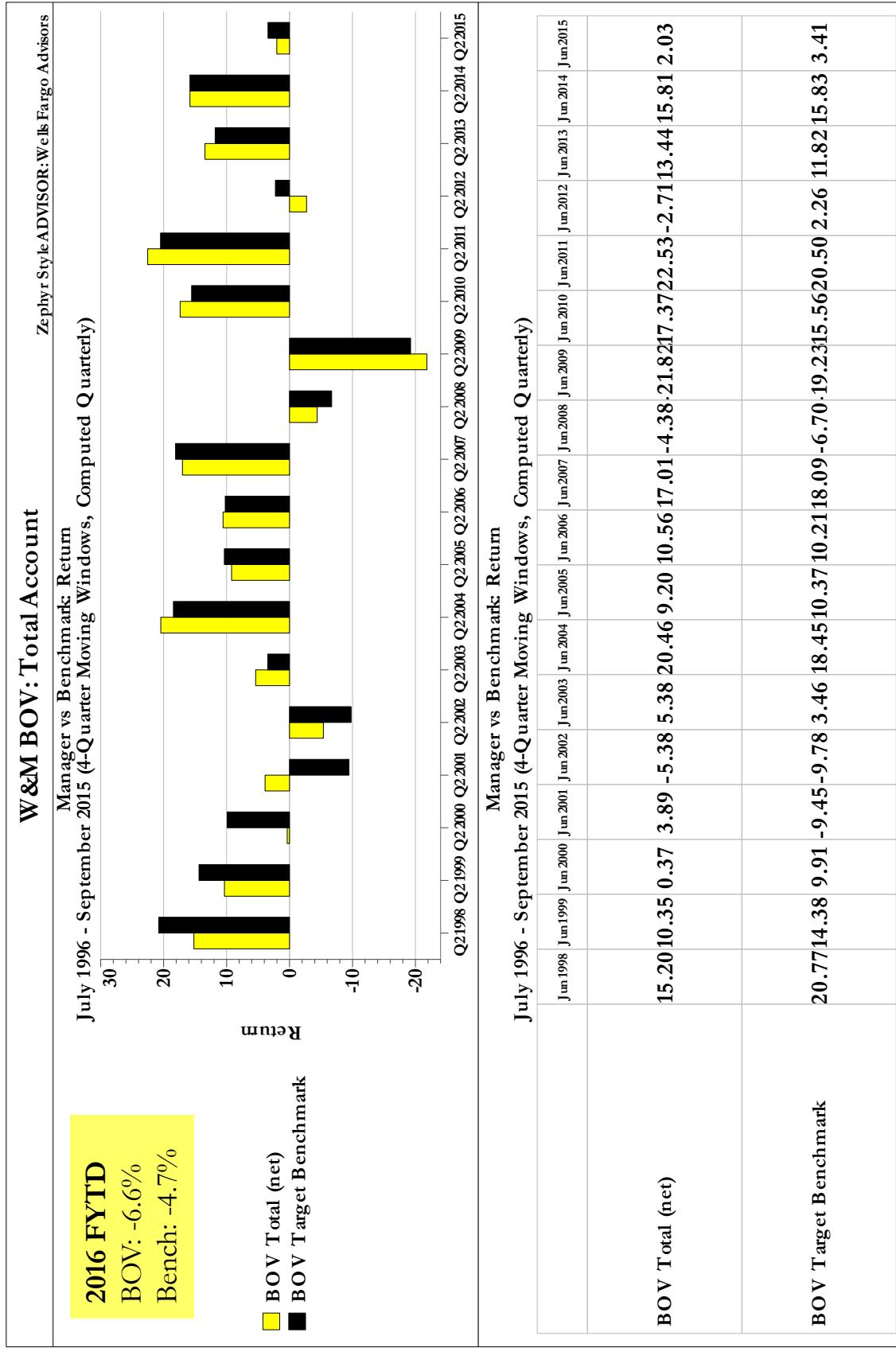
<sup>2</sup> From 11/1/09, 25% S&P 500, 12% Russ Midcap, 7% Russ 2000, 9% MSCI EAFE, 2% MSCI Emerging Mkts Free, 30% Citi World Government Bond, 5% JPM EMBI Global Diversified, 5% HFR1 Index; From 1/1/03, 40% S&P 500, 12.5% Russ Midcap, 7.5% Russ 2000, 10% MSCI EAFE, 4% MSCI Emerging Mkts Free, 20% Barclays US Aggregate, 2.5% Citi World Government Bond, 2.5% JPM EMBI+; Prior to 1/1/03, 60% Russell 3000, 15% MSCI World Ex-US, 25% Barclays Aggregate

<sup>3</sup> From 3/1/12, 44% Russell 3000, 35% Barclays US Aggregate, 15% MSCI World ex US, 10% HFR1; From 1/1/10, 44% Russell 3000, 40% Barclays US Aggregate, 11% MSCI World ex US, 5% HFR1; From 1/1/96 60% Russell 3000, 25% Barclays US Aggregate, 15% MSCI World Ex-US

+ Quarterly performance results prior to the third quarter of 2002, were provided by Delaware Investments Advisors and Lazard Asset Management. There were no calculations by Wells Fargo Advisors to ensure the accuracy of the results. Based on information provided by SunTrust, Wells Fargo Advisors began calculating quarterly results starting in the 4<sup>th</sup> quarter of 2002. There is no guarantee as to the accuracy of our calculations for the managers or the Total BOV Account.

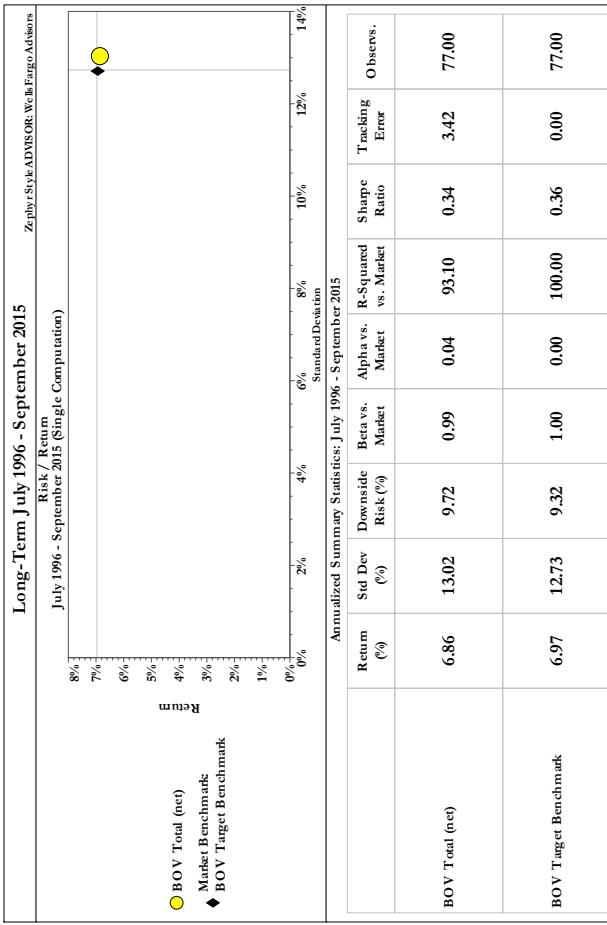
*Performance is net of investment management fees*

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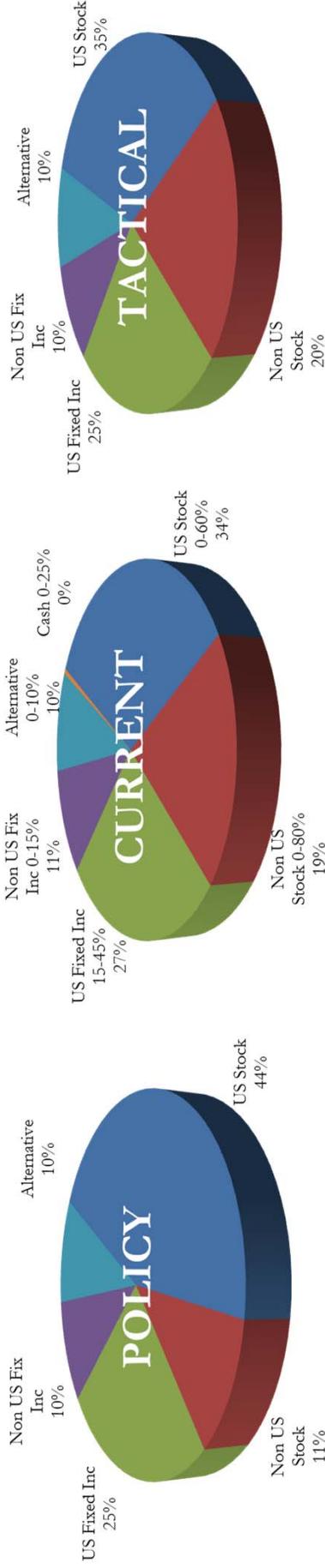


+ see footnote on previous page

Since Changes (January 2003 - September 2015) Zephyr Style ADVISOR: Wells Fargo Advisors							Long-Term July 1996 - September 2015 Zephyr Style ADVISOR: Wells Fargo Advisors												
January 2003 - September 2015 (Single Computation)							July 1996 - September 2015 (Single Computation)												
Return (%)	Std Dev (%)	Downside Risk (%)	Beta vs. Market	Alpha vs. Market	R-Squared vs. Market	Sharpe Ratio	Return (%)	Std Dev (%)	Downside Risk (%)	Beta vs. Market	Alpha vs. Market	R-Squared vs. Market	Sharpe Ratio	Tracking Error	Observ.				
BOV Total (net)	7.55	13.19	9.80	1.11	-0.88	97.43	0.47	2.46	51.00	BOV Total (net)	6.86	13.02	9.72	0.99	0.04	93.10	0.34	3.42	77.00
BOV Target Benchmark	7.75	11.76	8.66	1.00	0.00	100.00	0.55	0.00	51.00	BOV Target Benchmark	6.97	12.73	9.32	1.00	0.00	100.00	0.36	0.00	77.00



\* BOV Target Benchmark = From 1/1/03, 40% S&P 500, 12.5% Russell 2000, 10% MSCI Emerging Mkts Free, 20% Barclays Capital U.S. Aggregate, 6% Citi World Government Bond Index. Prior to 1/1/03, 60% Russell 3000, 15% MSCI World Ex-US, 25% Barclays Capital U.S. Aggregate Bond Index. From 11/1/09, 25% S&P 500, 12% Russell Midcap, 7% Russell 2000, 9% MSCI EAFE, 2% MSCI Emerging Mkts Free, 30% Barclays Capital U.S. Aggregate, 5% Citi World Government Bond Index, 5% JPM EMBI Global Diversified, 5% HFRI FoF Index.



<u>Manager</u>	<u>Domestic Fixed Income</u>	<u>Global Fixed Income</u>	<u>Domestic Equity</u>	<u>Non-US Equity</u>	<u>Alternative</u>	<u>Cash/Equiv.</u>	<u>Total</u>
Goldman Sachs Large Growth	0	0	5,452,665	0	0	0	5,452,665
Blackrock Large Value	0	0	5,475,387	0	0	0	5,475,387
Dodge & Cox International	0	0	4,947,348	0	0	0	4,947,348
Grantham, Mayo Int'l and EMD	0	8,025,364	0	0	0	0	8,025,364
Artisan Midcap Value	0	0	4,552,714	0	0	0	4,552,714
MFS International Value	0	0	0	5,630,652	0	0	5,630,652
Royce & Associates	0	0	4,714,609	0	0	0	4,714,609
State Street Global Advisors	0	0	3,893,689	0	0	0	3,893,689
WF Adv Midcap Growth	0	0	4,593,370	0	0	0	4,593,370
Pioneer Strategic Income	9,969,412	0	0	0	0	0	9,969,412
Dodge & Cox Income Fund	10,021,682	0	0	0	0	0	10,021,682
Cash & Equivalents	0	0	0	0	0	379,365	379,365
Combined Alternatives	0	0	0	0	7,482,135	0	7,482,135
<b>Total BOV Account</b>	<b>19,991,094</b>	<b>8,025,364</b>	<b>24,788,746</b>	<b>14,471,690</b>	<b>7,482,135</b>	<b>379,365</b>	<b>75,138,394</b>
<b>% of Total Fund</b>	<b>26.6%</b>	<b>10.7%</b>	<b>33.0%</b>	<b>19.3%</b>	<b>10.0%</b>	<b>0.5%</b>	

\* Values (except "Alternatives") are reflected at market as reported by SunTrust; Alternatives are reported by Wells Fargo Advisors; beginning and ending market values include accrued income on fixed income assets only. Private Equity Partners II values were reported by W&M.

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*July 1, 2015 – September 30, 2015*

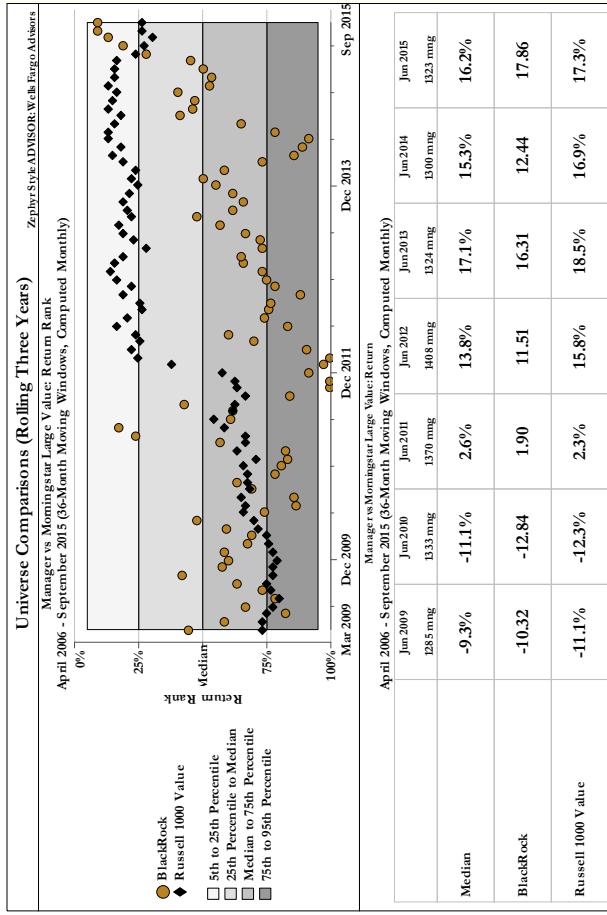
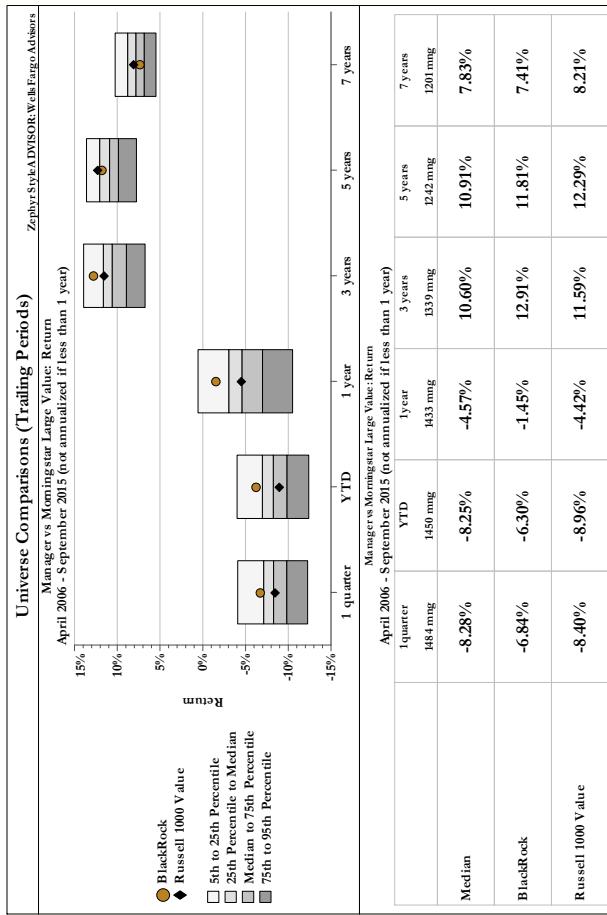
**William & Mary**  
**BOV Endowment**  
**6/30/15 Market Value** **80,763,997**

Net Additions/Withdrawals	(276,307)
Expenses	<u>(40,070)</u>
<i>Net Cash Flow</i>	<u>(316,377)</u>
 Net Income	330,570
Net Realized Gain/ (Loss)	35,821
Change Unrealized Gain/ (Loss)	<u>(5,675,617)</u>
<i>Total Investment Gain/ (Loss)</i>	<u>(5,309,226)</u>

**9/30/15 Market Value** **75,138,394**

- All account values (excluding “Alternatives”) are reported by SunTrust; “Alternative values are reported by Wells Fargo Advisors; to comply with GIPS Performance reporting standards, beginning and ending market values include fixed income accruals.

- Ending value excludes PEP II.

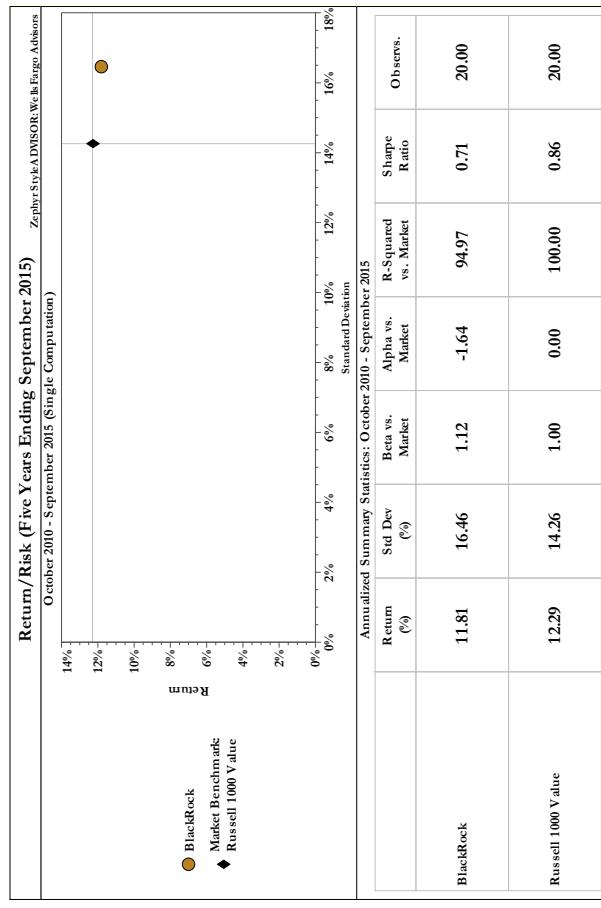
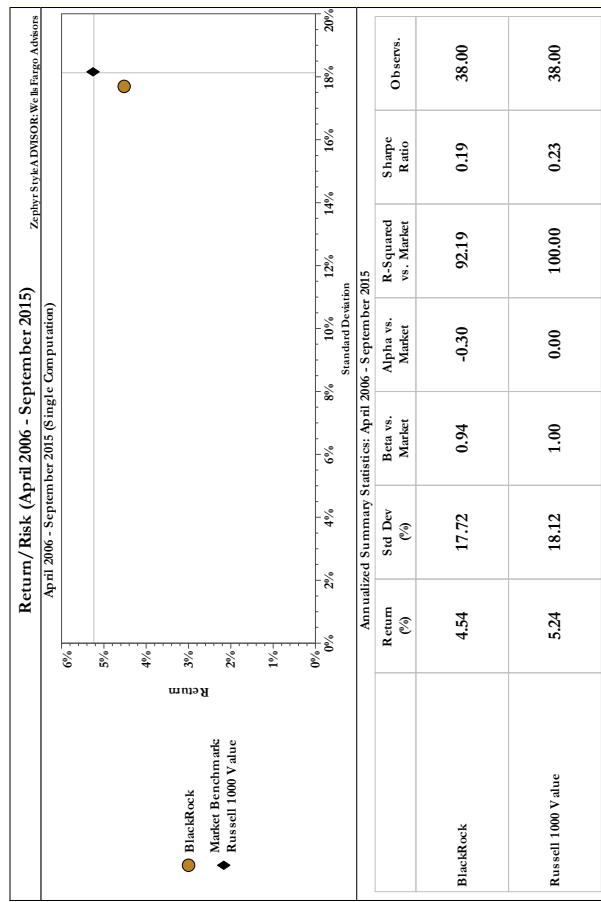


\* Please note that we have linked Blackrock's composite historical returns for periods prior to 5/1/06 with BOV actual results starting on May 1, 2006.

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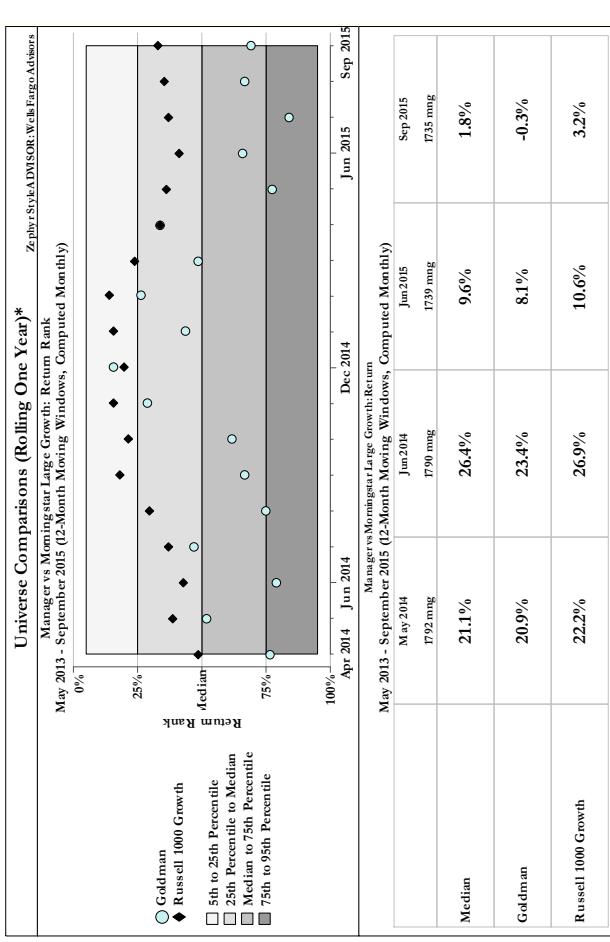
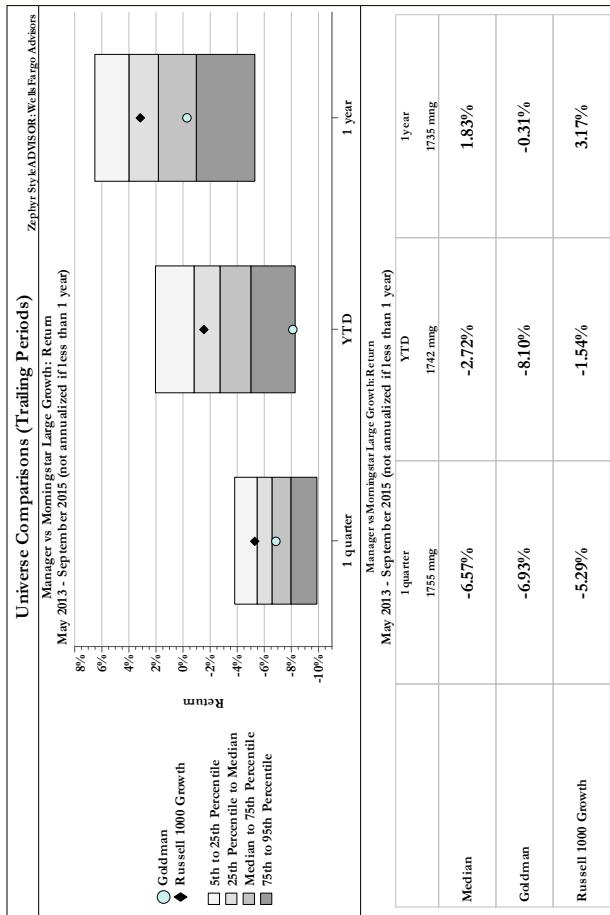
# Equity Sector (Large-Cap Value\*)

## Period Ending September 30, 2015– Risk Measures



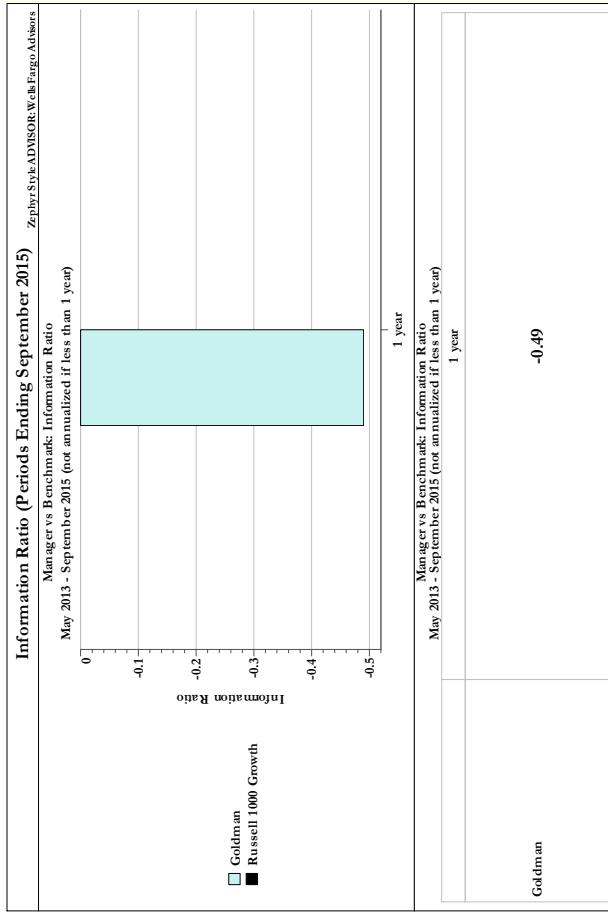
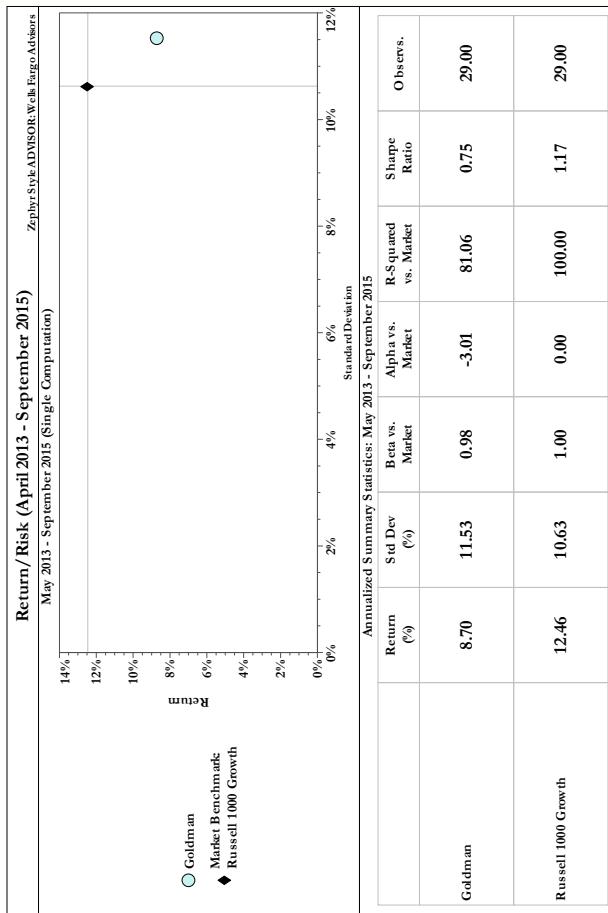
# Equity Sector (Large-Cap Growth)

Periods Ending September 30, 2015 - Performance



# Equity Sector (Large-Cap Growth)

Periods Ending September 30, 2015 - Performance



Characteristic	Blackrock	Goldman	Combined BOV Large-	S&P 500	Over/(Under) Weight
Median Cap (\$MM)	26,518	46,508	36,492	16,640	19,852
Avg Cap (\$MM)	88,215	134,149	111,134	119,170	(8,036)
Yield (%)	1.80	1.10	1.45	2.29	(0.84)
P/E Ratio	12.70	20.70	16.69	20.88	(4.19)
Price / Book	1.67	3.60	2.63	4.10	(1.47)
# of Stocks	75	21	96	505	

### Blackrock

Top Ten Equity Holdings	% of Portfolio
JPMorgan Chase	4.7
Bank of America	3.8
American International	3.5
Citigroup	3.5
US Bancorp	3.2
Cisco Systems	3.0
Aetna Inc	2.3
Carnival	2.3
Comcast	2.2
Exxon Mobil	2.2

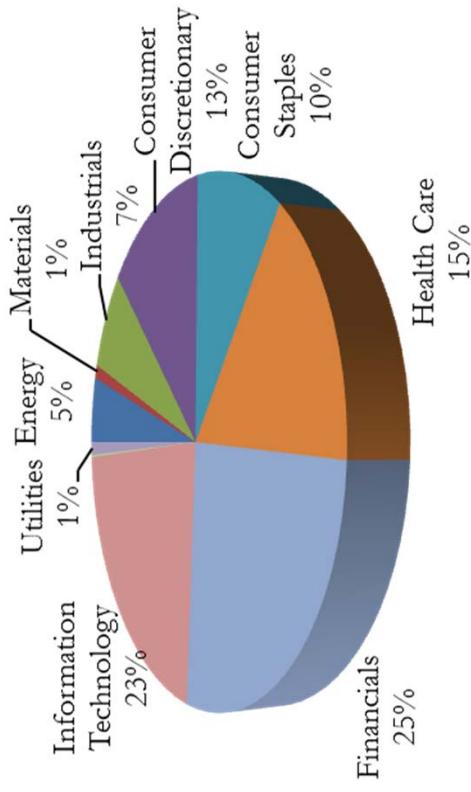
### Goldman

Top Ten Equity Holdings	% of Portfolio
Apple Inc.	10.1
Alphabet	7.6
American Tower Corporation	6.9
Equinix Inc	6.8
PVH Corp.	6.4
Walgreens Boots Alliance Inc	6.2
Abbott Laboratories	5.2
EMC Corporation	5.1
Costco Wholesale	5.0
Priceline Group Inc	4.8

Data Source: Goldman, Blackrock, InvestorForce

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## Combined BOV Large-Cap Sector Distribution

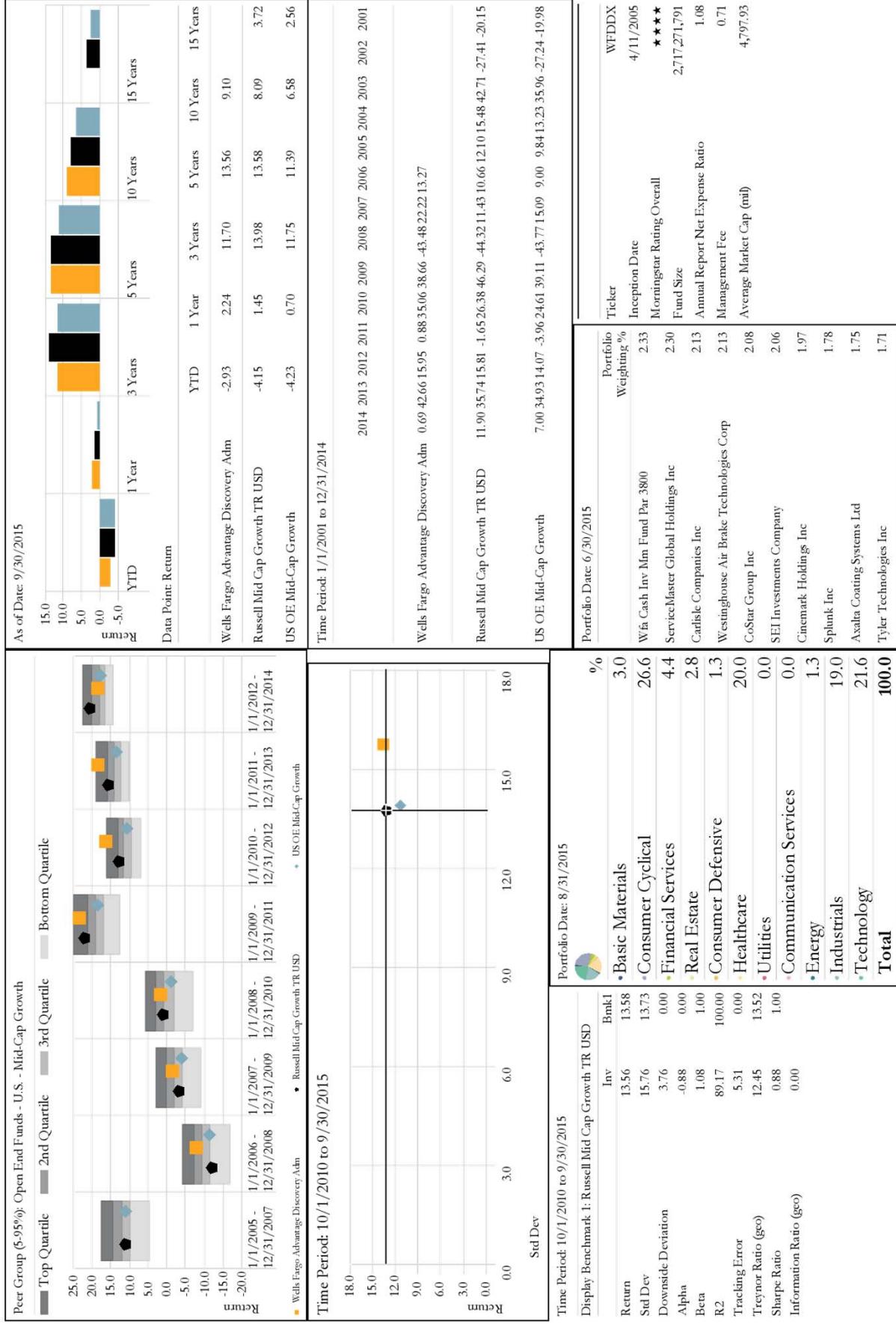


	Blackrock Weight	Goldman Weight	Combined BOV Large- Weight	S&P 500 Weight	Over / (Under)
Energy	9.1%	0.0%	4.6%	6.9%	-2.3%
Materials	1.8%	0.0%	0.9%	2.8%	-1.9%
Industrials	9.5%	4.2%	6.8%	10.1%	-3.3%
Consumer Discretionary	10.6%	15.3%	12.9%	13.1%	-0.2%
Consumer Staples	5.9%	14.4%	10.1%	9.9%	0.2%
Health Care	17.0%	14.1%	15.5%	14.7%	0.8%
Financials	29.6%	20.9%	25.3%	16.5%	8.8%
Information Technology	14.4%	31.2%	22.8%	20.4%	2.4%
Telecomm Service	0.3%	0.0%	0.2%	2.4%	-2.2%
Utilities	1.8%	0.0%	0.9%	3.1%	-2.2%

Data Source: Goldman, Blackrock, InvestorForce

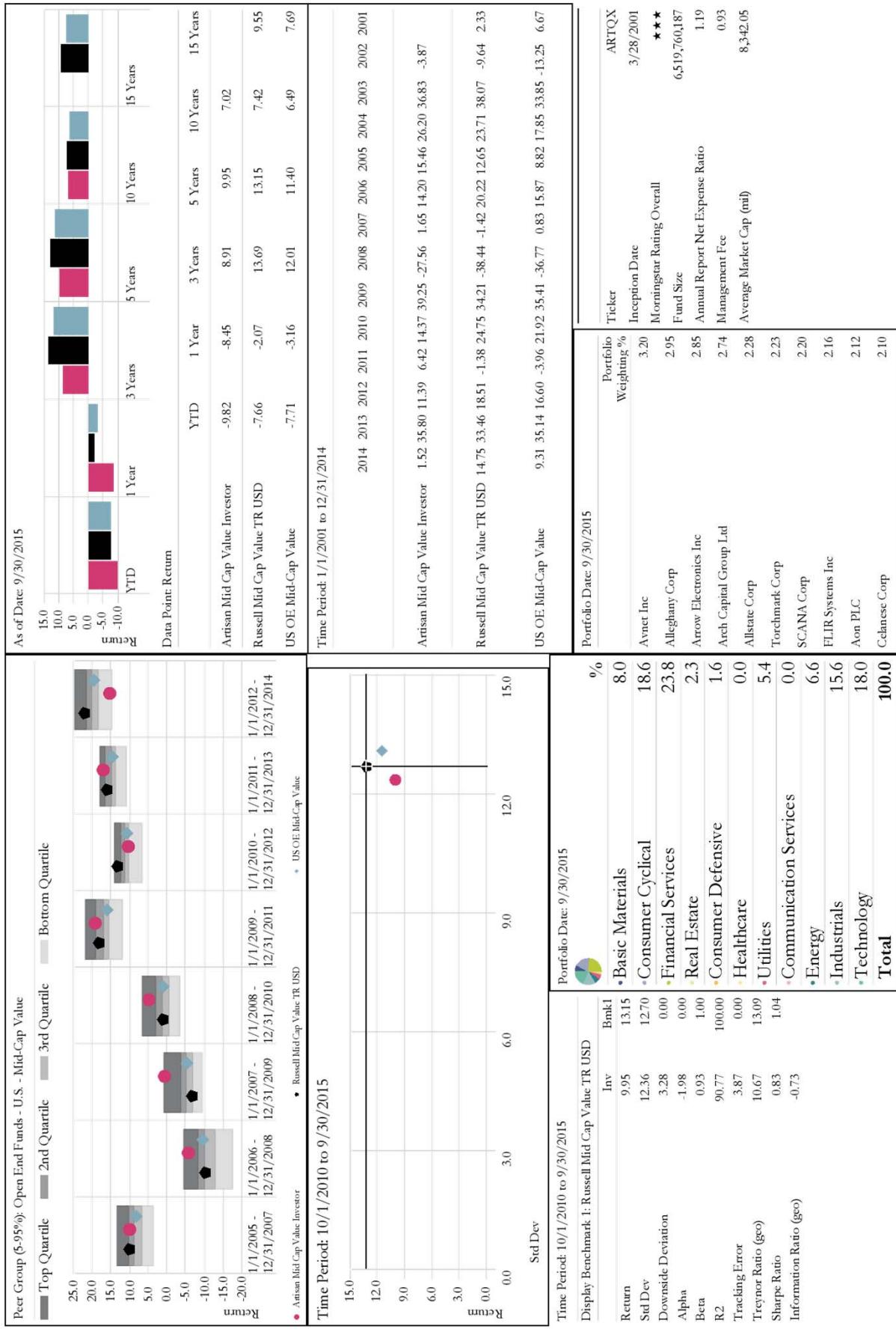
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## Equity Sector (Mid Cap Growth)



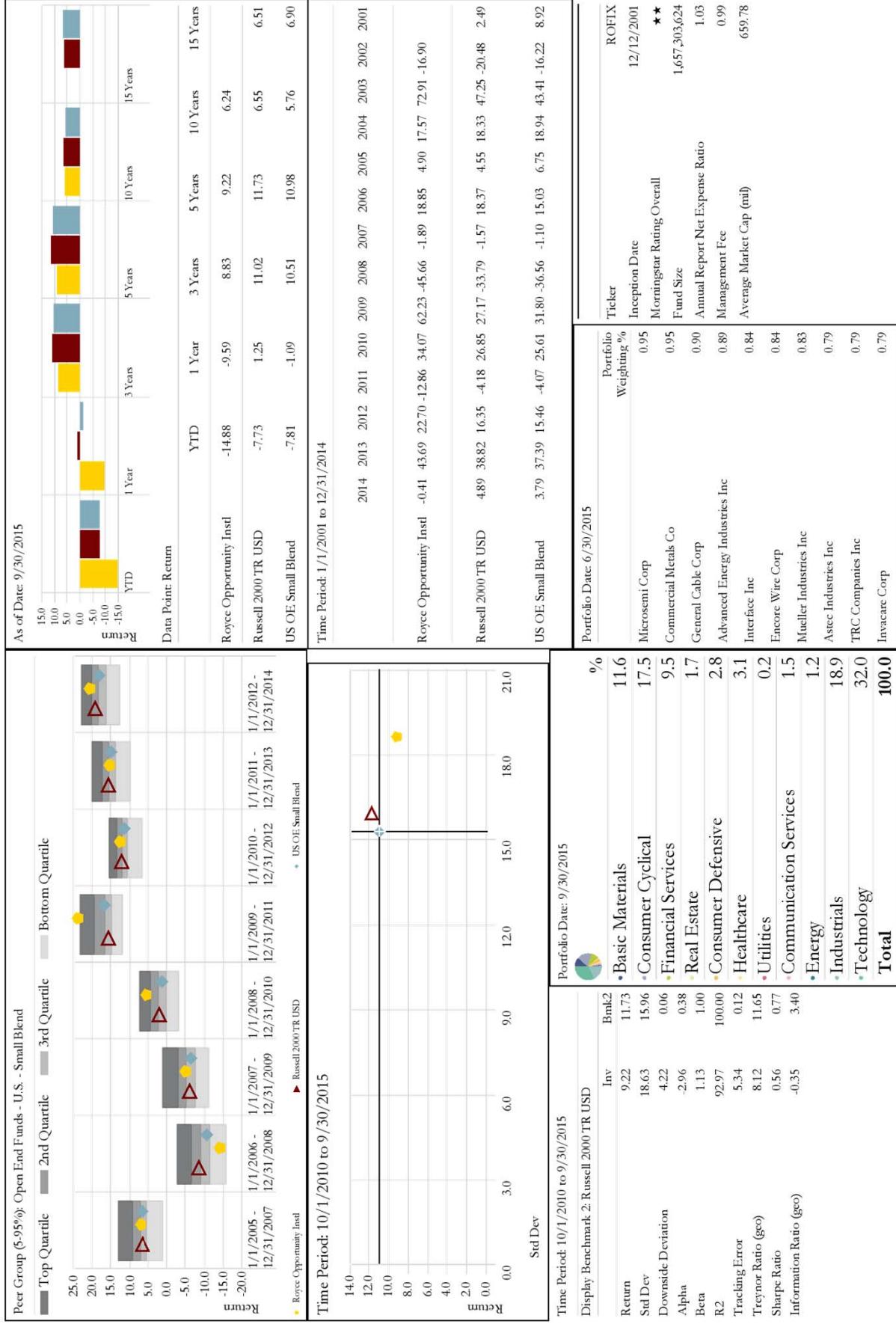
Source: Morningstar Direct. This report is designed solely for the use by The College of William & Mary BOV Endowment, including its Officers, Investment Committee, and administrative staff. Distribution without the express written consent of Wells Fargo is strictly prohibited.

## Equity Sector (Mid Cap Value)



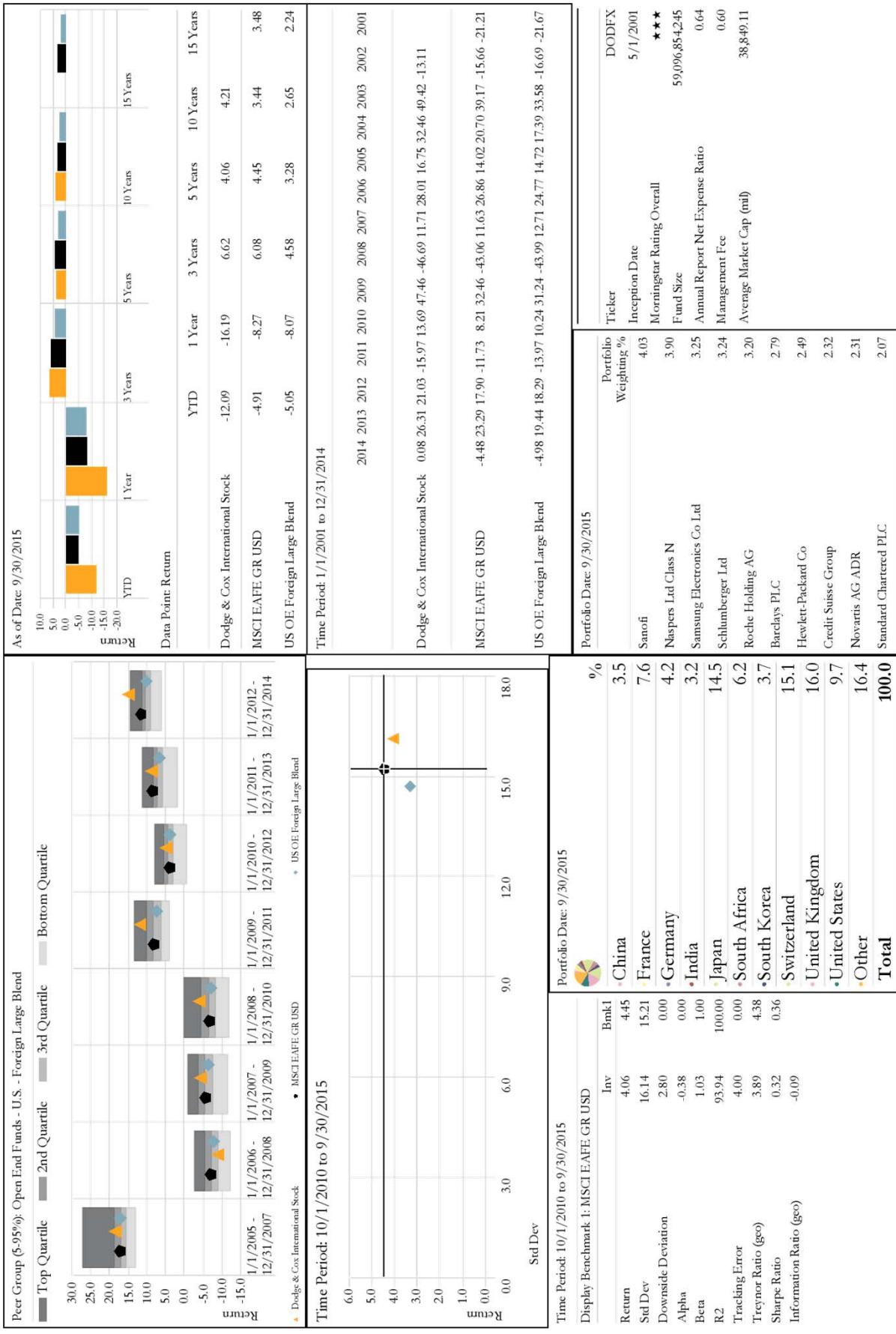
Source: Nonprofit Sector, designed solely for the use by The College of William & Mary BOV Endowment, including its Information Containing This Report, and administrative staff. Distribution without the express written consent of Weis Fargo is strictly prohibited.

## Equity Sector (Small Cap)



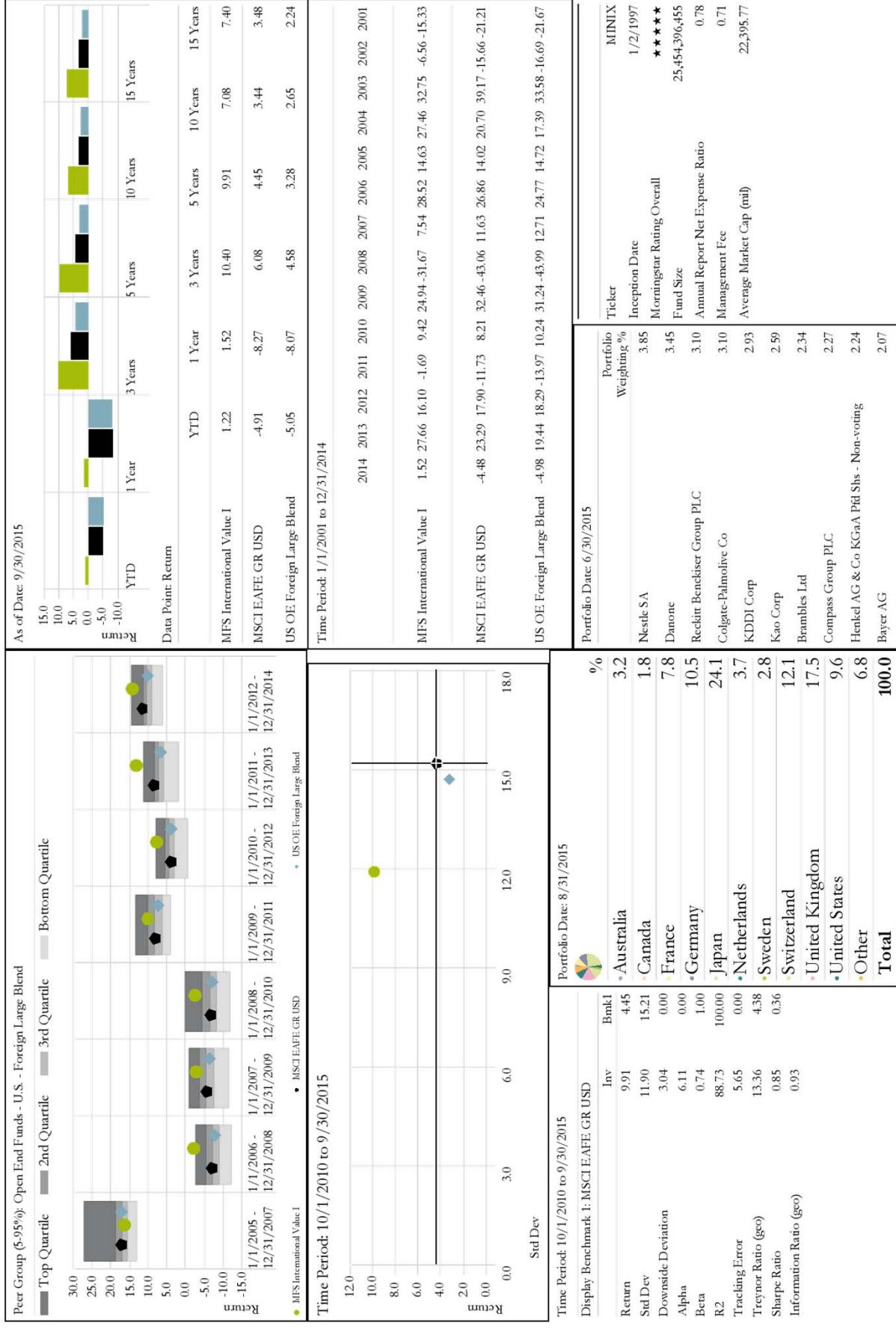
Source: Nonprofit Sector, designed solely for the use by The College of William & Mary BOV Endowment, including its Information Containing This Report, and administrative staff. Distribution without the express written consent of Weiss Faggo is strictly prohibited.

## Equity Sector (International Developed)



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# Equity Sector (International Developed)

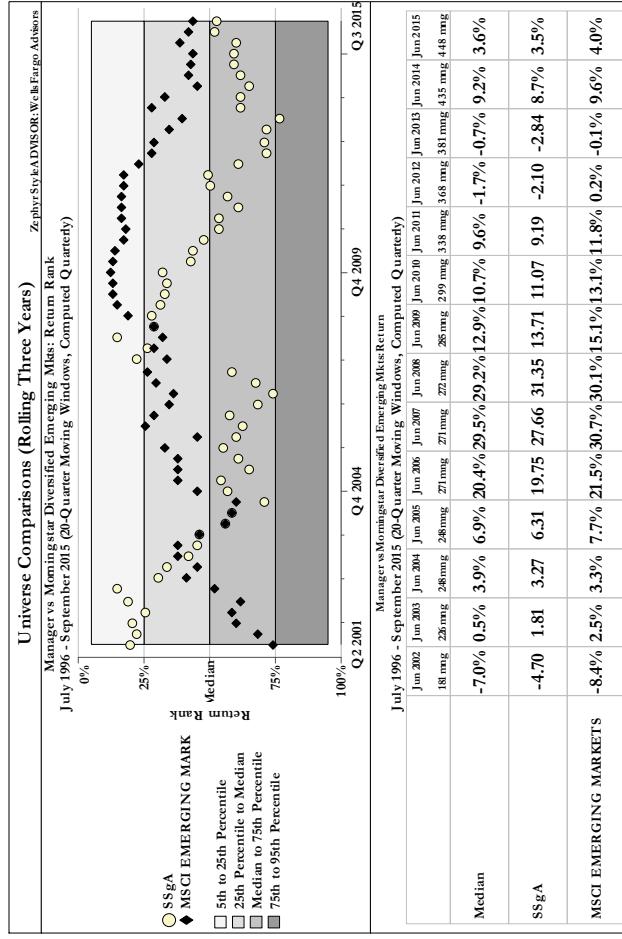


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# Equity Sector (Emerging Markets)

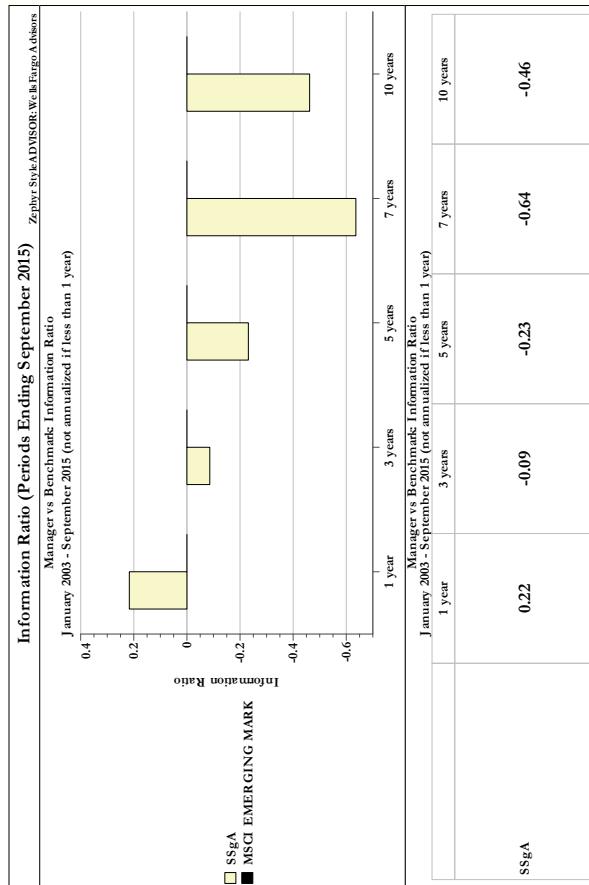
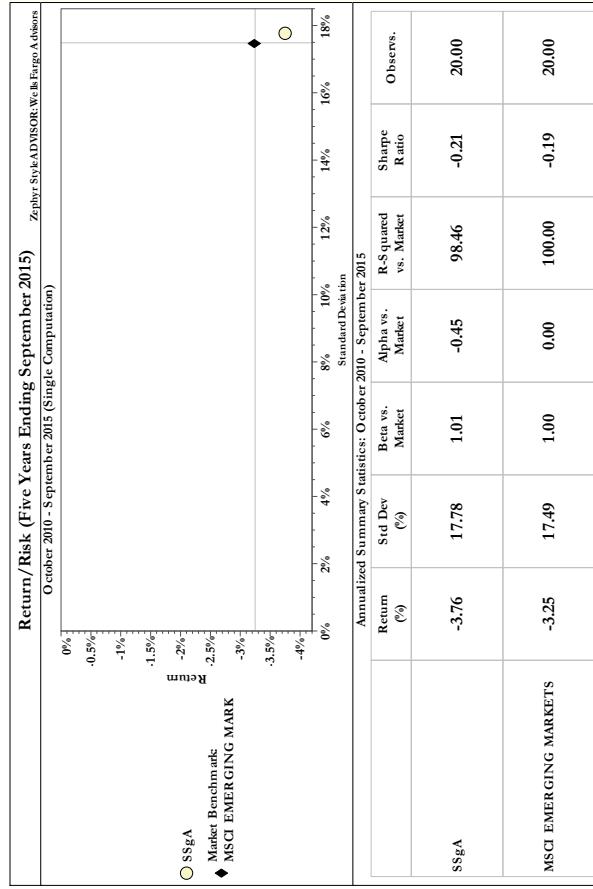
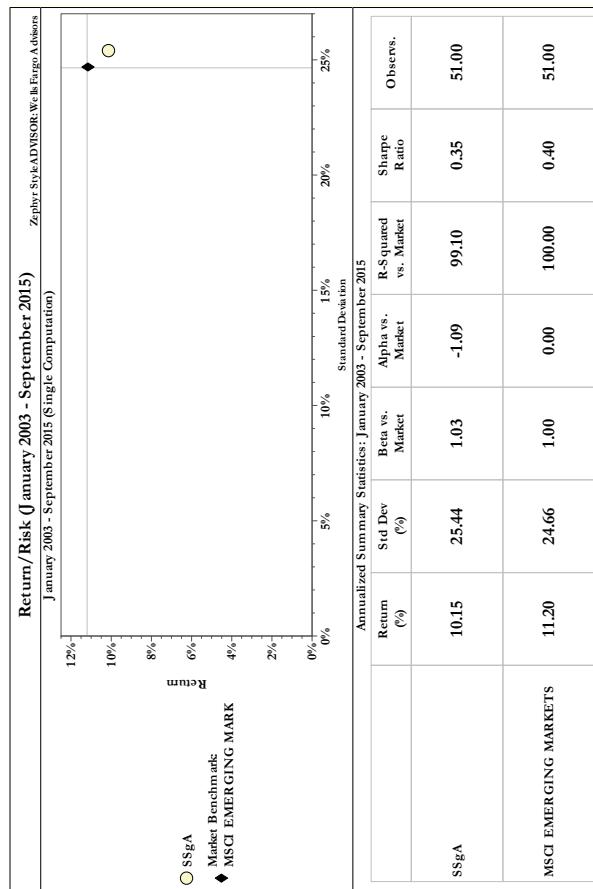
Periods Ending September 30, 2015 - Performance

Universe Comparisons (Trailing Periods)										Universe Comparisons (Rolling Three Years)																	
Manager vs Morningstar Diversified Emerging Mds: Return July 1996 - September 2015 (not annualized if less than 1 year)										Manager vs Morningstar Diversified Emerging Mds: Return Rank July 1996 - September 2015 (20-Quarter Moving Windows, Computed Quarterly)																	
SSgA	MSCI EMERGING MARK	5th to 25th Percentile	25th Percentile to Median	Median to 75th Percentile	75th to 95th Percentile	SSgA	MSCI EMERGING MARK	5th to 25th Percentile	25th Percentile to Median	Median to 75th Percentile	75th to 95th Percentile	SSgA	MSCI EMERGING MARK	5th to 25th Percentile	25th Percentile to Median	Median to 75th Percentile	75th to 95th Percentile	SSgA	MSCI EMERGING MARK								
1 quarter	YTD	1 year	3 years	5 years	8 years	10 years	1 quarter	YTD	1 year	3 years	5 years	10 years	1 quarter	YTD	1 year	3 years	5 years	10 years	1 quarter	YTD							
Manager vs Morningstar Diversified Emerging Mds: Return July 1996 - September 2015 (not annualized if less than 1 year)	Manager vs Morningstar Diversified Emerging Mds: Return July 1996 - September 2015 (20-Quarter Moving Windows, Computed Quarterly)						Manager vs Morningstar Diversified Emerging Mds: Return July 1996 - September 2015 (not annualized if less than 1 year)	Manager vs Morningstar Diversified Emerging Mds: Return July 1996 - September 2015 (20-Quarter Moving Windows, Computed Quarterly)						Manager vs Morningstar Diversified Emerging Mds: Return July 1996 - September 2015 (not annualized if less than 1 year)	Manager vs Morningstar Diversified Emerging Mds: Return July 1996 - September 2015 (20-Quarter Moving Windows, Computed Quarterly)												
1 quarter	YTD	1 year	3 years	5 years	8 years	10 years	1 quarter	YTD	1 year	3 years	5 years	8 years	1 quarter	YTD	1 year	3 years	5 years	10 years	1 quarter	YTD	1 year	3 years	5 years	10 years			
918 mmg	833 mmg	844 mmg	636 mmg	466 mmg	390 mmg	245 mmg	181 mmg	225 mmg	284 mmg	271 mmg	272 mmg	285 mmg	181 mmg	200 mmg	261 mmg	286 mmg	348 mmg	415 mmg	1448 mmg	415 mmg	381 mmg	415 mmg	448 mmg				
Median	-16.12%	-14.60%	-18.67%	-4.63%	-3.67%	-3.24%	SSgA	-17.55%	-14.97%	-18.26%	-5.14%	-3.76%	-4.33%	SSgA	-17.78%	-15.22%	-18.98%	-4.93%	-3.25%	-2.48%	SSgA	-17.78%	-15.22%	-18.98%	-4.93%	-3.25%	
SSgA	MSCI EMERGING MARKETS	-17.78%	-15.22%	-18.98%	-4.93%	-3.25%	SSgA	MSCI EMERGING MARKETS	-17.78%	-15.22%	-18.98%	-4.93%	-3.25%	SSgA	MSCI EMERGING MARKETS	-17.78%	-15.22%	-18.98%	-4.93%	-3.25%	SSgA	MSCI EMERGING MARKETS	-17.78%	-15.22%	-18.98%	-4.93%	-3.25%

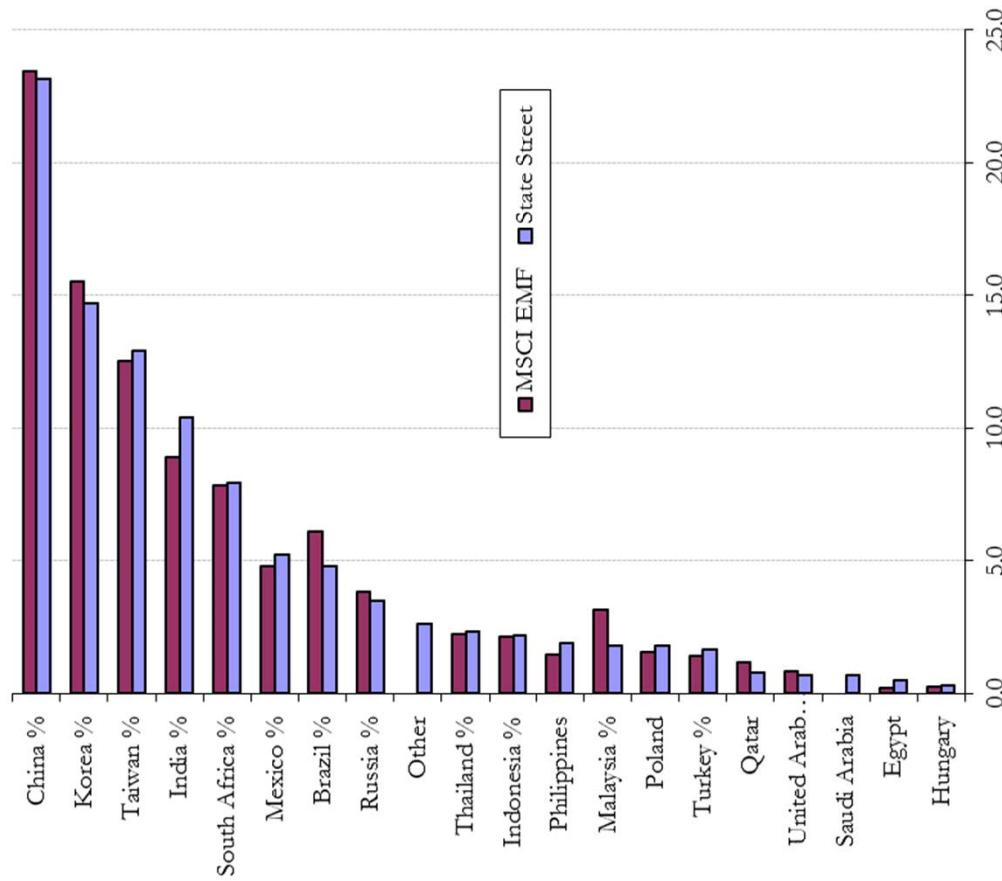


# Equity Sector (Emerging Markets)

## Periods Ending September 30, 2015– Risk Measures



## Country Distribution



Data Source: State Street, MSCI  
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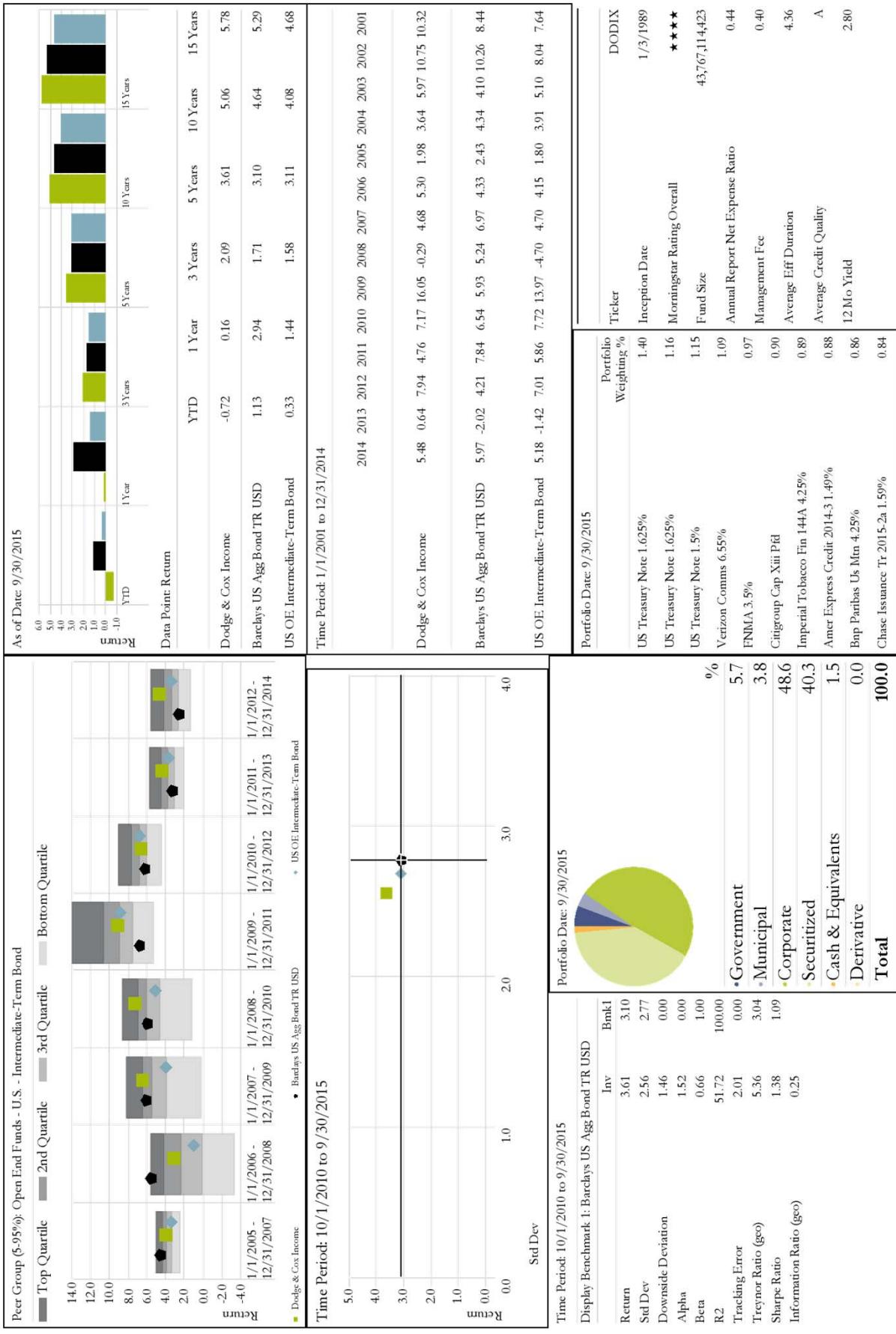
	State Street	MSCI EM
Price/Earnings	9.77	11.08
Price/Book	1.39	1.35
Yield	3.42	2.98
Weighted Average Cap (\$billions)	20,211	19,621
# Holdings	353	834

	MSCI EM	MSCI EAFE	MFS® International Value I	Dodge & Cox International Stock	SSgA Emerging Market	Combined
Australia	6.4	3.1			5.3	1.20
Brazil	6.1		2.4		5.3	2.24
Canada		1.7	0.5			0.85
China	23.4	0.2	0.0	3.1	20.8	6.64
Denmark		1.8	1.2			0.47
France		9.9	7.4	6.7		5.17
Germany		8.9	10.0	3.7		5.16
Hong Kong	0.1	2.9	0.3	1.3	0.2	0.65
Hungary	0.2				0.3	0.07
India	8.9			2.8	9.4	3.50
Indonesia	2.1				2.5	0.66
Ireland		0.4	0.4			0.17
Italy		2.5	0.3	0.6		0.33
Japan		22.5	22.9	12.8		13.29
Malaysia		3.1			1.8	0.49
Mexico		4.8		2.0	4.6	1.92
Netherlands		2.8	3.5	2.1		2.10
Norway		0.6	1.2			0.48
Philippines		1.5			2.2	0.58
Poland		1.6			1.7	0.46
Russia	3.8				3.2	0.86
Singapore		1.3			1.0	0.27
South Africa		7.7		5.5	7.2	3.81
South Korea		15.5		3.2	13.8	4.81
Spain		3.4	1.5	0.6		0.79
Sweden		2.9	2.7	1.8		1.67
Switzerland		9.7	11.5	13.3		9.04
Taiwan	12.5		1.5	0.0	12.2	3.85
Thailand	2.2			0.5	2.2	0.77
Turkey	1.4			1.2	1.7	0.85
United Kingdom	19.9		16.7	14.1	0.6	11.46
United States	0.1	0.3	9.1	8.6		6.48
United Kingdom		19.9	17.2	15.2		11.87
United States	0.1	0.3	9.0	8.0		6.24

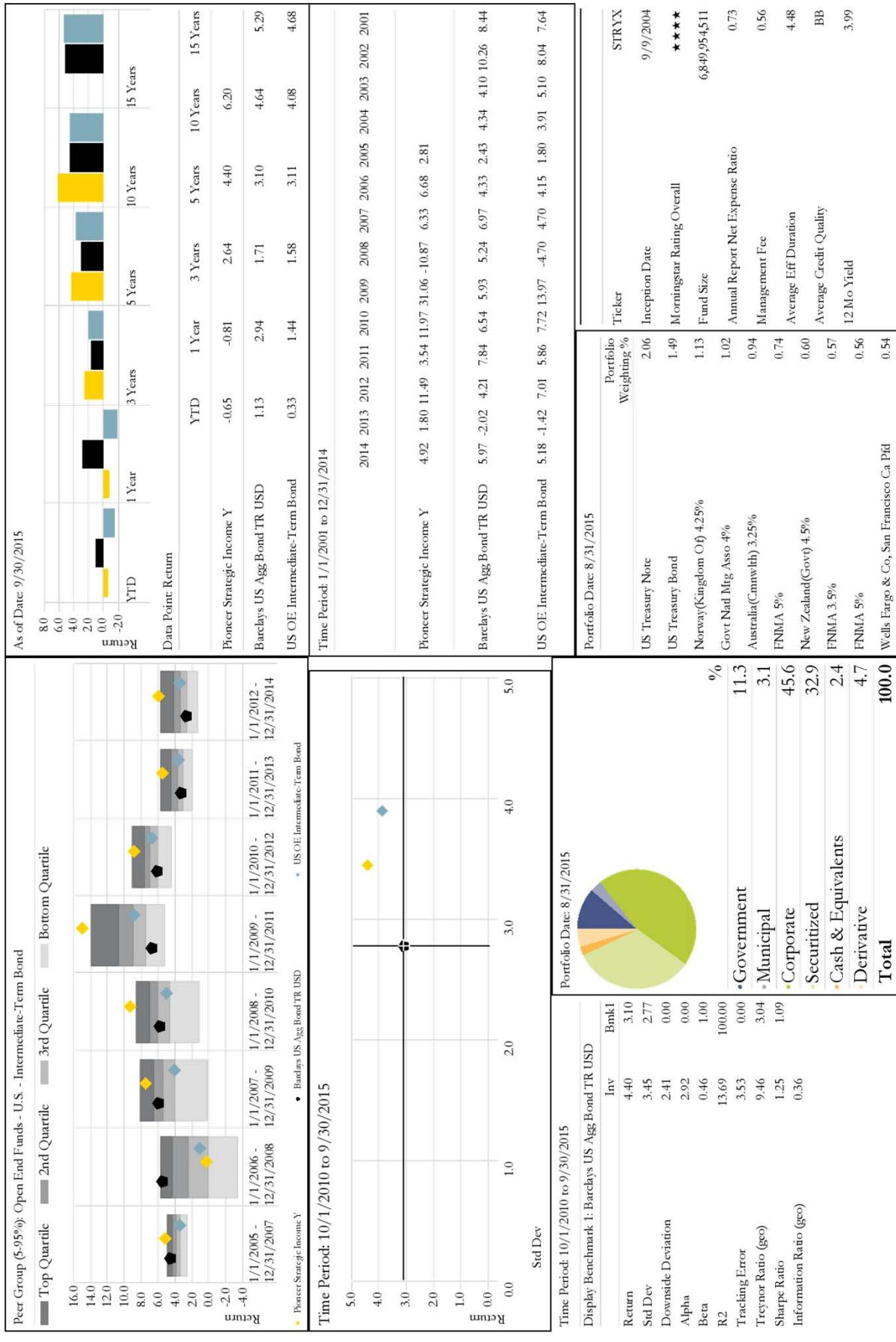
\*MFS and SSgA data  
as of 8/31/2015

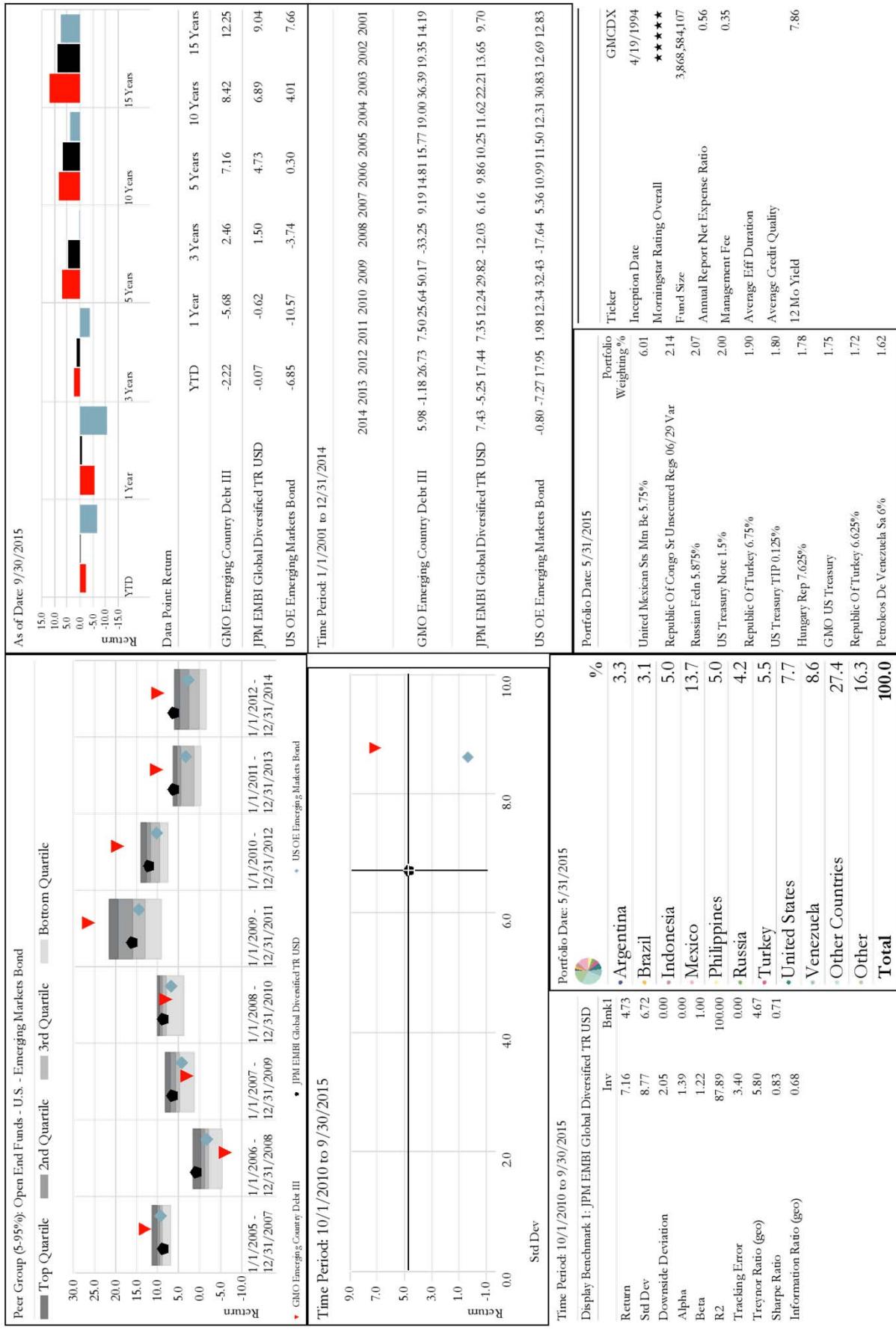
Highlighted rows are  
countries represented  
in MSCI EAFE (or  
developed countries)

### III. Fixed Income Sector (US Bonds)



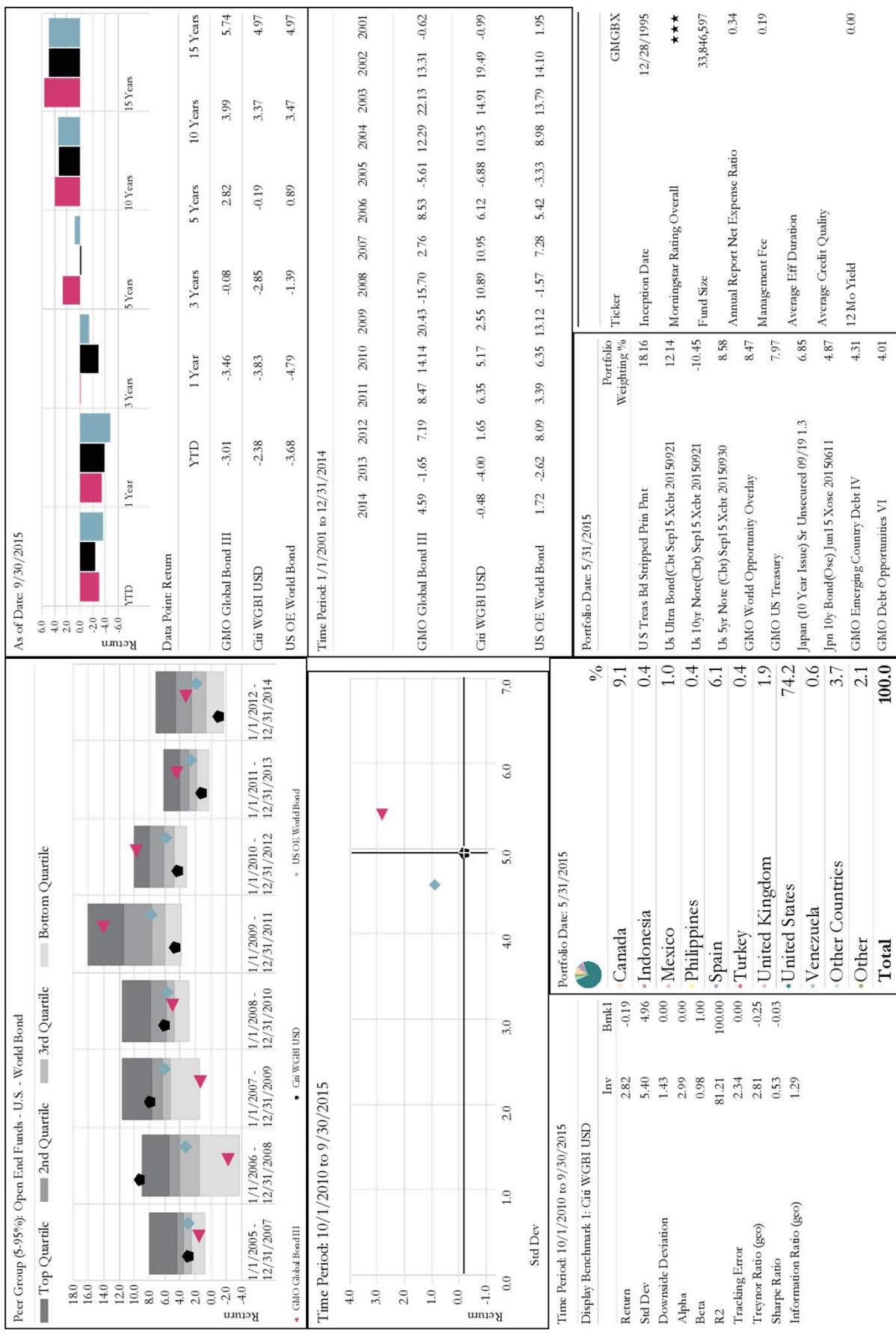
Source: Nonprofit Sector, designed solely for the use by The College of William & Mary BOV Endowment, including its Information Containing This Report, and administrative staff. Distribution without the express written consent of Weis Fargo is strictly prohibited.





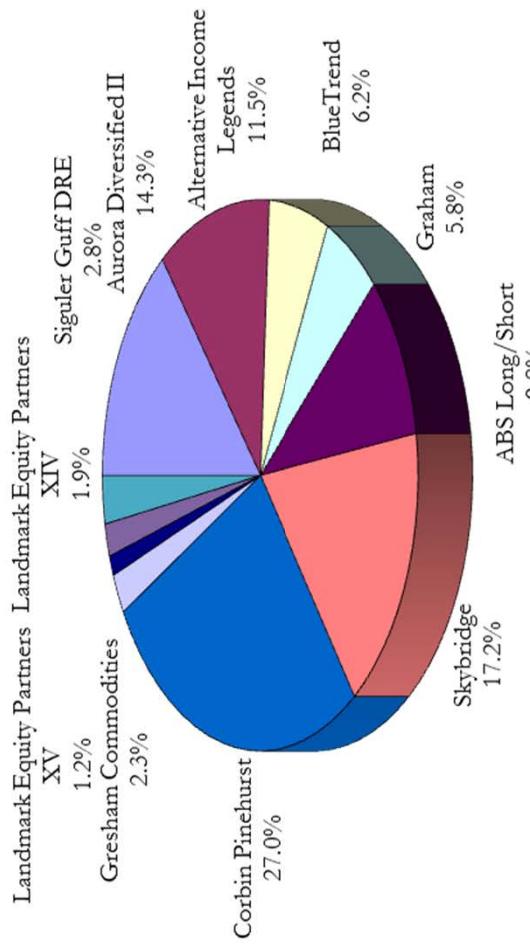
Source: Nonprofit Sector, designed solely for the use by The College of William & Mary BOV Endowment, including its Information Containing This Report, and administrative staff. Distribution without the express written consent of Weiss Faggo is strictly prohibited.

## Fixed Income Sector (World Bonds)



Source: Morningstar Direct. This report is designed solely for the use by The College of William & Mary BOV Endowment, including its Officers, Investment Committee, and administrative staff. Distribution without the express written consent of Wells Fargo is strictly prohibited.

**Alternative Breakdown (%)**



Manager	% of Account	Estimated Market Value	Verified Values	Verified As Of
Aurora Diversified II	14.3%	\$1,072,417	\$1,073,546	8/31/2015
Alternative Income Legends	11.5%	\$863,865	\$893,856	8/31/2015
BlueTrend	6.2%	\$462,075	\$470,957	9/30/2015
Graham	5.8%	\$431,493	\$437,597	9/30/2015
ABS Long/Short	9.8%	\$729,653	\$729,166	8/31/2015
Skybridge	17.2%	\$1,287,198	\$1,327,410	7/31/2015
Corbin Pinehurst	27.0%	\$2,018,819	\$2,018,036	8/31/2015
Gresham Commodities	2.3%	\$173,564	\$166,347	6/30/2015
Landmark Equity Partners XV	1.2%	\$88,205	\$52,685	12/31/2014
Landmark Equity Partners XIV	1.9%	\$142,538	\$117,233	3/31/2015
Siguler Guff DRE	2.8%	\$212,308	\$186,876	12/31/2014
<b>Total</b>	<b>100.0%</b>	<b>\$7,482,135</b>	<b>\$7,473,710</b>	

Data Source: Wells Fargo Advisors

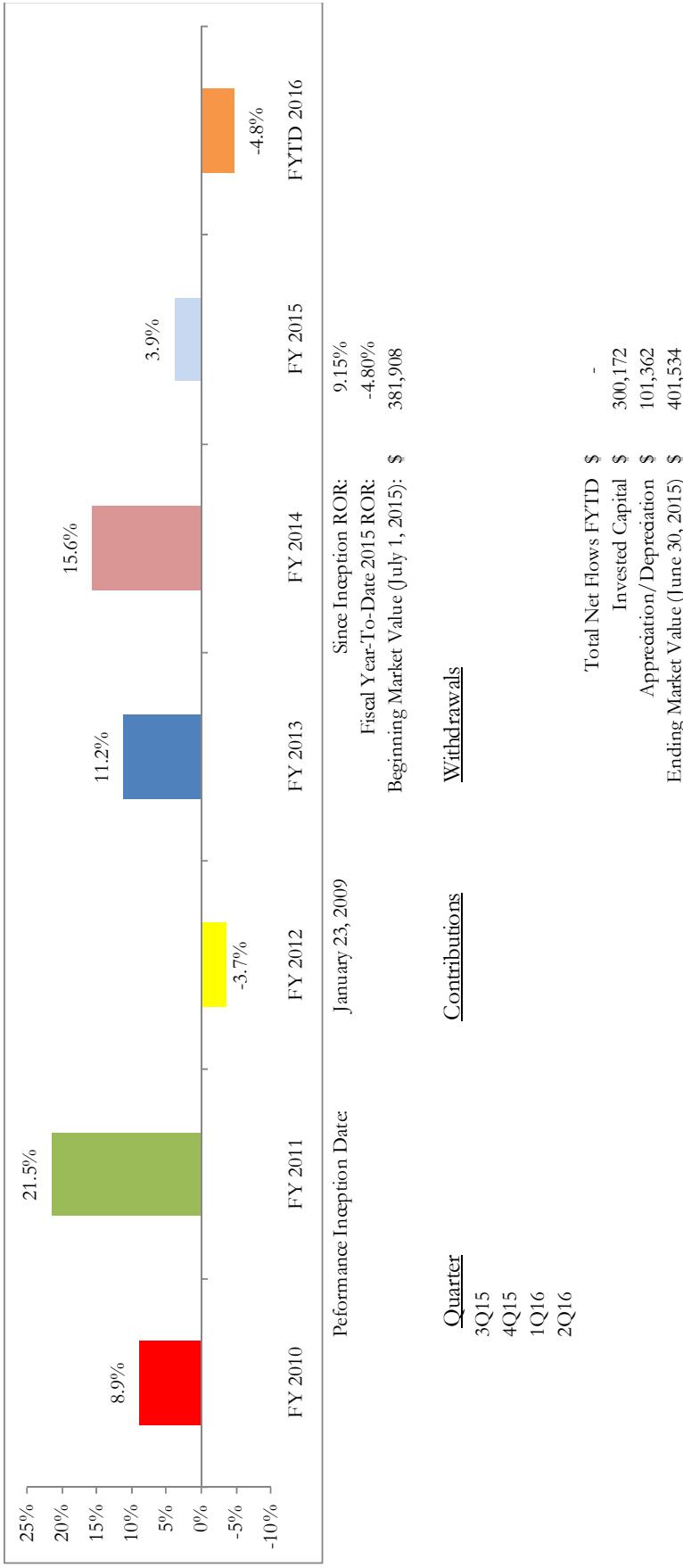
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% of Account		\$ Value	3q15	One Year	Three Years*	Five Years*	Incept (Mgr)*	Incept Bench*	Performance Inception
100%	\$ 7,482,135	<b>Combined Alternatives (1 mo lag)</b> <b>HFRI FoF Index (1 mo lag)</b>	(2.9) (2.8)	3.1 1.6	3.8 3.5	2.8 3.2	2.5 3.2		Jan-10
14%	\$ 1,072,417	<u>Lower Volatility</u> <b>Aurora Diversified II</b> <i>HFRI Conservative Index</i>	(1.9) (1.2)	1.3 1.9	4.5 2.7	--	1.9	0.9	Feb-11
27%	\$ 2,018,819	<u>Diversified</u> <b>Corbin Pinehurst</b>	(1.7)	2.5	6.7	5.8	5.6	3.2	Jan-10
12%	\$ 863,865	<b>Alternative Income Legends</b>	1.6	1.5	--	--	(2.9)	3.2	Jun-14
17%	\$ 1,287,198	<b>SkyBridge</b> <i>HFRI Fund of Funds</i>	2.9 (2.8)	-- 1.6	-- 3.5	-- 3.2	0.9	1.6	Oct-14
10%	\$ 729,653	<u>Hedged Equity</u> <b>ABS Global L/S (K2 prior to 12/12)</b> <i>HFRI Equity Hedge</i>	(1.1) (5.1)	5.4 (2.5)	8.8 4.9	6.4 4.5	4.9	4.5	Jan-10
6%	\$ 462,075	<u>Managed Futures</u> <b>BlueTrend</b>	(2.2)	5.9	(0.8)	--	(0.2)	0.9	Feb-11
6%	\$ 431,493	<b>Graham</b> <i>CS Tremont Managed Futures Index</i>	(5.0) (4.4)	25.1 10.2	6.2 2.5	6.2 1.9	0.7	1.9	Jan-10
2%	\$ 173,564	<u>Commodities</u> <b>Gresham Commodities</b> <i>Dow UBS Commodity Index</i>	(11.0) (9.9)	(30.0) (28.1)	(15.1) (11.6)	--	(10.9)	(11.6)	Feb-11
2%	\$ 142,538	<u>Private Equity</u> <b>Landmark Equity Partners XIV</b>							Jan-10
1%	\$ 88,205	<b>Landmark Equity Partners XV</b>							Jun-14
3%	\$ 212,308	<b>Sigular Guff DRE</b>							Mar-11

All returns are on a one-month lag. Performance greater than 1 year is annualized.

Data Source: Wells Fargo Advisors

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Returns are calculated net of transaction costs and net of management fees.

Returns greater than one year are annualized.

Account data is on a trade date basis and accrued income is included in beginning and ending values. Performance is based on current market prices, as available.

Certain assets are excluded from Beginning and Ending Values and are not included in performance calculations. Selected annuities, certain types of direct investments, mutual funds held outside the firm, precious metals, coins, bullion, or any assets subject to tax-withholding (TEFRA) are among the assets not included in values or performance calculations.

Wells Fargo Advisors is the trade name used by two separate registered broker-dealers: Wells Fargo Advisors, LLC, and Wells Fargo Advisors Financial Network, LLC, Members SIPC, non-bank affiliates of Wells Fargo & Company.

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**ASSET CLASS SUITABILITY:** Stocks of small companies are typically more volatile than stocks of larger companies. They often involve higher risks because they may lack the management expertise, financial resources, product diversification and competitive strengths to endure adverse economic conditions. High-yield, non-investment grade bonds are only suitable for aggressive investors willing to take greater risks, which could result in loss of principal and interest payments. Global/International investing involves risks not typically associated with US investing, including currency fluctuations, political instability, uncertain economic conditions and different accounting standards. Because the futures and commodity markets can be highly unpredictable – often swinging dramatically – investing in currency and commodities is not suitable for all investors. You may lose your entire investment, and in some cases, more than you invested.

**PAST PERFORMANCE:** Past performance is not an indication of future results.

**ASSET CLASS PERFORMANCE REPRESENTATIONS:** Long Term Treasuries = BC Treasury Long; Municipals = BC Municipal; Foreign Bonds = Salomon World BIG – IB; US Govt/Credit = BC Govt/Credit; Mtge Backed Securities = ML Mortgage Master; Corporate Bonds = Salomon Corporate; 90 Day T-Bills = Salomon; Japanese Stocks = Salomon Japan BMI; High Yield Bonds = ML High Yield Master; Small Cap US Value = RU 2000 Value; MidCap US Stocks = RU Midcap; Large Cap US Value = RU 1000 Value; European Stocks = Salomon Europe BMI; Small Cap US Stocks = RU 2000; Lg Cap US Growth = RU 1000 Growth; Latin American Stocks = Salomon Latin America BMI; Sm Cap US Growth = RU 2000 Growth

**BROAD EQUITY MARKET & SECTOR PERFORMANCE REPRESENTATIONS:** Large-Cap = S&P 500 or Russell 1000; Mid-Cap = RU Midcap; Small-Cap = RU 2000; International = MSCI EAFE

**DATA SOURCES:** Information found in this document was derived from the following sources: Zephyr Associates, Investor Force/MSCI, Barclays Capital, Standard & Poor's, Morningstar, Thomson Reuters, direct material from managers/funds, and other sources we deem reliable.

# General Disclosure

**Dow Jones Industrial Average** - This index is comprised of 30 "blue-chip" US stocks selected for their history of successful growth and wide interest among investors. The DJIA represents about 20% of the total market value of all US stocks and about 25% of the NYSE market capitalization. It is a price-weighted arithmetic average, with the divisor adjusted to reflect stock splits and the occasional stock switches in the index.

**NASDAQ Composite** - A cap-weighted index comprised of all common stocks that are listed on the NASDAQ Stock Market (National Association of Securities Dealers Automated Quotation system).

**S&P 500** - A broad-based measurement of changes in stock market conditions based on the average performance of 500 widely held common stocks. This index does not contain the 500 largest companies nor the most expensive stocks traded in the U.S. While many of the stocks are among the largest, this index also includes many relatively small companies. This index consists of approximately 380 industrial, 40 utility, 10 transportation and 70 financial companies listed on U.S. market exchanges. It is a capitalization-weighted index (stock price times number of shares outstanding), calculated on a total return basis with dividends reinvested.

**Russell 1000** - The 1000 largest companies in the Russell 3000 index, based on market capitalization.

**Russell 1000 Growth** - A segment of the Russell 1000 with a greater-than-average growth orientation. Companies in this index have higher price-to-book and price-earnings ratios, lower dividend yields and higher forecasted growth values than the Russell 1000 Value index.

**Russell 1000 Value** - Represents a segment of the Russell 1000 with a less-than-average growth orientation. Companies in this index have low price-to-book and price-earnings ratios, higher dividend yields and lower forecasted growth values than the Russell 1000 Growth Index.

**Russell Mid Cap** - The index consisting of the bottom 800 securities in the Russell 1000 as ranked by total market capitalization, and it represents over 35% of the Russell 1000 total market cap.

**Russell 2000** - The 2000 smallest companies in the Russell 3000 index.

**Russell 2000 Growth** - A segment of the Russell 2000 with a greater-than-average growth orientation. Companies in this index have higher price-to-book and price-earnings ratios, lower dividend yields and higher forecasted growth values than the Russell 2000 Value index.

**Russell 2000 Value** - A segment of the Russell 2000 with a less-than-average growth orientation. Companies in this index have low price-to-book and price-earnings ratios, higher dividend yields and lower forecasted growth values than the Russell 2000 Growth index.

**Russell 2500** - The index consisting of the bottom 500 stocks in the Russell 1000(as ranked by market capitalization) and all of the stocks in the Russell 2000. This index is intended to be used as a measure of small to medium /small stock performance, and it represents over 22% of the Russell 3000 total market cap.

**MSCI EAFE** - A market capitalization-weighted index representing all of the MSCI developed markets outside North America. It comprises 20 of the 22 countries in the MSCI World. These 20 countries include the 14 European countries in the MSCI Europe and the 6 Pacific countries in the MSCI Pacific. This index is created by aggregating the 20 different country indexes, all of which are created separately.

**MSCI World** - This market capitalization-weighted index represents all 22 of the MSCI developed markets in the world. It is created by aggregating the 22 different country indexes, all of which are created separately.

**MSCI Emerging Markets Free (EMF)** - A market capitalization-weighted index representing 26 of the emerging markets in the world. Several factors are used to designate whether a country is considered to be emerging vs. developed, the most common of which is Gross Domestic Product Per Capita. The "Free" aspect indicates that this index includes only securities that are allowed to be purchased by global investors. This index is created by aggregating the 26 different country indexes, all of which are created separately.

**Barclays Government/Credit** - This index includes all bonds that are in the Barclays Capital Government Bond and the Barclays Capital Credit Bond indices.

**Barclays Government Intermediate** - All bonds covered by the Barclays Capital Government Bond index with maturities of 1 and 10 years.

**Barclays Aggregate Bond** - This index is made up of the Barclays Capital Government/Credit, the Mortgage-Backed Securities, and the Asset-Backed Securities indices. All issues in the index are rated investment grade or higher, have at least one year to maturity, and have an outstanding par value of at least \$100 million.

**Barclays Government Long Term** - All bonds covered by the Barclays Capital Government Bond index with maturities of 10 years or greater.

**Barclays Municipal Bond** - This market cap weighted index includes investment grade tax-exempt bonds and is classified into four main sectors: General Obligation, Revenue, Insured, and Pre-refunded. To be included in this index, the original transaction size of a bond must have been greater than \$50 million.

**Merrill Lynch Convertibles** - The convertible securities used in this index span all corporate sectors and must have a par amount outstanding of \$25 million or more. The maturity must be at least one year. The coupon range must be equal to or greater than zero and all quality of bonds are included. Excluded from this index are preferred equity redemption stocks. When the component bonds of this index convert into common stock, the converted securities are dropped from the index.

**Merrill Lynch High Yield Master** - Market-cap weighted index providing a broad-based measure of Bonds in the US domestic bond market rated below investment grade but not in default. Includes only issues with a credit rating of BB1 or below as rated by Moody's and/or S&P, at least \$100 million in face value outstanding and a remaining term to final maturity equal to or greater than one year.

**Dow Jones Wilshire REIT Index** - A measurement of equity REITs and Real Estate Operating Companies. No special-purpose or health care REITs are included. It is a market capitalization-weighted index for which returns are calculated monthly using buy and hold methodology; it is rebalanced monthly.

**Citigroup 3 Month Treasury Bill** - Representing the monthly return equivalents of yield averages that are not marked to market, this index is an average of the last three three-month Treasury bill issues.

**50/50 Blend (S&P 500/BCIGC)** - A blended benchmark consisting of 50% S&P 500 and 50% Barclays Capital Government/Credit Intermediate indices.

August 28, 2015

**THE COLLEGE OF WILLIAM AND MARY  
BOARD OF VISITORS  
OFFICERS AND COMMITTEES**

**2015-2016**

**EXECUTIVE COMMITTEE**

Todd A. Stottlemyer, Rector  
H. Thomas Watkins III, Vice Rector  
Sue H. Gerdelman, Secretary  
Kendrick F. Ashton, Jr.  
Ann Green Baise  
Thomas R. Frantz  
Robert E. Scott  
*Michael J. Fox*

**COMMITTEE ON ACADEMIC AFFAIRS**

Robert E. Scott, Chair  
Lynn M. Dillon, Vice Chair  
Kendrick F. Ashton, Jr.  
James A. Hixon  
Lisa E. Roday  
Karen Kennedy Schultz  
Suzanne Raitt, faculty representative  
*Michael R. Halleran*

**COMMITTEE ON ADMINISTRATION, BUILDINGS AND GROUNDS**

Ann Green Baise, Chair  
John Charles Thomas, Vice Chair  
Keith S. Fimian  
James A. Hixon  
William H. Payne II  
Karen Kennedy Schultz  
DeRonda M. Short  
Elizabeth Barnes, faculty representative  
*Samuel E. Jones*

**COMMITTEE ON ATHLETICS**

H. Thomas Watkins III, Chair  
DeRonda M. Short, Vice Chair  
Kendrick F. Ashton, Jr.  
Keith S. Fimian  
Thomas R. Frantz  
Sue H. Gerdelman  
Denise Johnson, faculty representative  
*Edward C. Driscoll, Jr.*

**COMMITTEE ON AUDIT AND COMPLIANCE**

John Charles Thomas, Chair  
Christopher M. Little, Vice Chair  
Ann Green Baise  
John E. Littel  
William H. Payne II  
DeRonda M. Short  
*Kent B. Erdahl*  
*Kiersten L. Boyce*  
*Samuel E. Jones*

**COMMITTEE ON FINANCIAL AFFAIRS**

Kendrick F. Ashton, Jr., Chair  
John E. Littel, Vice Chair  
Lynn M. Dillon  
Thomas R. Frantz  
James A. Hixon  
Christopher M. Little  
Robert E. Scott  
H. Thomas Watkins III  
Eric Chason, faculty representative  
*Samuel E. Jones*

(Investments Subcommittee – Kendrick Ashton, Lynn Dillon)

**RICHARD BLAND COLLEGE COMMITTEE**

John E. Littel, Chair  
Ann Green Baise, Vice Chair  
Lynn M. Dillon  
Sue H. Gerdelman  
William H. Payne, II  
Lisa E. Roday  
Karen Kennedy Schultz  
D. Jill Mitten, faculty representative  
Amanda C. Archer, student representative  
*Debbie L. Sydow*

***COMMITTEES OF THE WHOLE:*****COMMITTEE ON UNIVERSITY ADVANCEMENT**

Sue H. Gerdelman, Chair  
Lynn M. Dillon, Vice Chair  
Keith S. Fimian, Vice Chair  
Christopher M. Little, Vice Chair  
*Matthew T. Lambert*

**COMMITTEE ON STRATEGIC INITIATIVES AND NEW VENTURES**

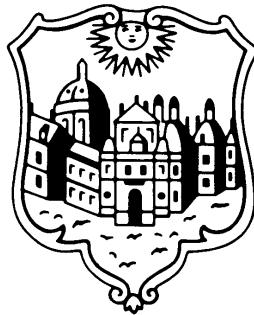
Thomas R. Frantz, Chair  
John E. Littel, Vice Chair  
Lisa E. Roday, Vice Chair  
Robert E. Scott, Vice Chair  
H. Thomas Watkins III, Vice Chair  
*Michael R. Halleran*  
*Henry R. Broaddus*

**COMMITTEE ON STUDENT AFFAIRS**

Lisa E. Roday, Chair  
William H. Payne II, Vice Chair  
*Virginia M. Ambler*

BOARD OF VISITORS  
OF THE COLLEGE  
OF WILLIAM AND MARY  
IN VIRGINIA

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WILLIAM  
& MARY

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BOARD MEETING

*Board Room - Blow Memorial Hall*  
November 20, 2015

**MEETING AGENDA**  
Board of Visitors  
The College of William and Mary

November 20, 2015 - 10:00 a.m.  
Board Room - Blow Memorial Hall

I.	Welcome and call to order	Rector Todd A. Stottlemyer
II.	Approval of Minutes – September 16-18, 2015	Mr. Stottlemyer
III.	Opening Remarks	Mr. Stottlemyer President W. Taylor Reveley III
IV.	Closed Session (if necessary)	Mr. Stottlemyer
V.	Reports of Standing Committee chairs	
	A. Richard Bland College Committee	John E. Littel
	1. <b>Resolution 1:</b> Adoption of Changes to Richard Bland College Policy Manual	tab #1
	2. <b>Resolution 2:</b> Modification to the Faculty Handbook with Regard to Specified Term Appointments	tab #2
	3. <b>Resolution 12:</b> Receipt of the Consolidated Financial Report of The College of William and Mary in Virginia and Richard Bland College for the Fiscal Year Ended June 30, 2015 ( <i>joint with William and Mary</i> )	tab #12
	B. Committee on Audit and Compliance	John Charles Thomas
	1. <b>Resolution 3:</b> Approval of the Office of Internal Audit 2016 Work Plan	tab #3
	C. Committee on Administration, Buildings and Grounds	Ann Green Baise
	1. <b>Resolution 10:</b> Resolution to Approve Easement for New Transformer for Zable Stadium Underground Electric Facilities: Virginia Electric and Power Company	tab #10
	D. Committee on Athletics	H. Thomas Watkins III

Board of Visitors  
MEETING AGENDA  
November 20, 2015

E. Committee on Financial Affairs	Kendrick F. Ashton, Jr.
1. <b>Resolution 11:</b> Continuation: William & Mary Promise	<i>tab #11</i>
2. <b>Resolution 12:</b> Receipt of the Consolidated Financial Report of The College of William and Mary in Virginia and Richard Bland College for the Fiscal Year Ended June 30, 2015 <i>(joint with Richard Bland College)</i>	<i>tab #12</i>
3. <b>Resolution 13:</b> Receipt of the Financial Report of the Intercollegiate Athletic Department for the Fiscal Year Ended June 30, 2015	<i>tab #13</i>
F. Committee on Academic Affairs	Robert S. Scott
1. <b>Resolution 4:</b> Appointments to Fill a Vacancy in the Executive Faculty	<i>tab #4</i>
2. <b>Resolution 5:</b> Appointments to Fill a Vacancy in the Instructional Faculty	<i>tab #5</i>
3. <b>Resolution 6:</b> Appointments to Fill Vacancies in the Professionals and Professional Faculty	<i>tab #6</i>
4. <b>Resolution 7:</b> Designated Professorships	<i>tab #7</i>
5. <b>Resolution 8:</b> Faculty Leave of Absence	<i>tab #8</i>
6. <b>Resolution 9:</b> Retirement of John M. Brubaker School of Marine Science	<i>tab #9</i>
VI. Old Business	Mr. Stottlemyer
A. <b>Resolution 14:</b> Amendments to the Bylaws of the Board of Visitors	<i>tab #14</i>
VII. New Business	Mr. Stottlemyer
VIII. Executive Session (if necessary)	Mr. Stottlemyer
IX. Closing remarks	
X. Adjournment	Mr. Stottlemyer

**BOARD DINING ROOM:**

@12 Noon      Lunch

## FULL BOARD MEETING

MINUTES – SEPTEMBER 16-18, 2015

**MINUTES**

Meeting of the Board of Visitors  
The College of William and Mary in Virginia

September 16-18, 2015  
Blow Memorial Hall - College of William and Mary

The Board of Visitors of The College of William and Mary in Virginia met on the campus in Williamsburg on Wednesday, Thursday and Friday, September 16-18, 2015.

On Wednesday, September 16, the Richard Bland College Committee met in the Board Room from 3:25 to 5:20 p.m. and the Executive Committee met in the Rector's Office from 5:15 to 6:45 p.m. That evening the full Board convened for dinner at Plumeri House at 119 Chandler Court.

Those present on Wednesday were:

Kendrick F. Ashton, Jr.

Lisa E. Roday

Ann Green Baise

Karen Kennedy Schultz

Lynn M. Dillon

Robert E. Scott

Thomas R. Frantz

DeRonda M. Short

Sue H. Gerdelman

Todd A. Stottlemyer

John E. Littel

John Charles Thomas

Christopher M. Little

H. Thomas Watkins III

William H. Payne II

Absent: Keith S. Fimian

James A. Hixon

Also present was William and Mary President W. Taylor Reveley III.

At 8:40 p.m. the Rector convened the full Board at Plumeri House, and asked for a motion that the Board of Visitors convene in Executive Session for the purpose of discussing personnel matters pertaining to the performance and evaluations of specific executive employees, as provided for in Section 2.2-3711.A.1., of the Code of Virginia. Motion was made by Ms. Gerdelman, seconded by Mr. Watkins and approved by voice vote. The observers were asked to leave the room and the Board went into closed session at 8:40 p.m.

The Board reconvened in open session at 9:30 p.m. Mr. Stottlemyer reviewed the topic discussed during closed session for the benefit of the observers, then asked for a motion to adopt the Resolution certifying that the closed session was held in compliance with the Freedom of Information Act. Motion was made by Ms. Gerdelman, seconded by Mr. Watkins and approved by roll call vote of the Committee members conducted by Secretary of the Board Sue H. Gerdelman. (Certification Resolution is appended.)

There being no further business, the Board adjourned at 9:30 p.m.

On Thursday, September 17, the Committee on Audit and Compliance met in the Board Conference Room while the Committee on Academic Affairs, the Committee on Administration, Buildings and Grounds, the Committee on University Advancement and the Committee on Athletics met in the Board Room.

Board of Visitors  
MINUTES  
Page 2

Those present on Thursday were:

Kendrick F. Ashton, Jr.	Lisa E. Roday
Ann Green Baise	Karen Kennedy Schultz
Lynn M. Dillon	Robert E. Scott
Thomas R. Frantz	DeRonda M. Short
Sue H. Gerdelman	Todd A. Stottlemyer
James A. Hixon	John Charles Thomas
John E. Littel	H. Thomas Watkins III
Christopher M. Little	Student representative: Yohance D. Whitaker
William H. Payne II	

Absent: Keith S. Firman

Others present:

W. Taylor Reveley III	Kent B. Erdahl
Michael R. Halloran	Michael J. Fox
Virginia M. Ambler	W. Fanchon Glover
Henry R. Broaddus	Jennifer B. Latour
Edward C. Driscoll, Jr.	Jeremy P. Martin
Samuel E. Jones	Brian W. Whitson
Matthew T. Lambert	Sandra J. Wilms
Kiersten L. Boyce	Timothy A. Wolfe

Also in attendance were Staff Liaison Claire Leatherwood, University Counsel Deborah Love, Alumni Association President Cindy Jarboe, Dean Kate Conley, Dean Carrie Cooper, Dean Dave Douglas, Dean John Wells, members of the William and Mary Faculty Liaison Committee, and other Richard Bland and William and Mary staff.

The Committee on Audit and Compliance met from 7:45 to 9:05 a.m. The Committee on Academic Affairs met from 8:00 to 9:00 a.m. The Committee on Administration, Buildings and Grounds met from 9:15 to 10:05 a.m. The Committee on University Advancement met from 10:10 to 11:06 a.m. The Committee on Athletics met from 11:15 a.m. to 12:12 p.m.

At 12:15 p.m., the Board moved to Zable Stadium to participate in the beam topping off ceremony, then took a short tour of the Laycock Center followed by lunch in the Center's recruiting lounge, where they briefly met with Coach Jimmye Laycock. At 2:00 p.m. the Board returned to Blow Memorial Hall.

At 2:05 p.m. Academic Affairs Committee chair Robert Scott reconvened the Board for the Provost Report and Faculty Presentation. After a brief review of the agenda, Mr. Scott moved that the Board of Visitors convene in Closed Session to discuss personnel matters pertaining to the performance and evaluation of specific employees, as provided for in Section 2.2-3711.A.1., of the Code of Virginia. Motion was seconded by Mr. Watkins and approved by voice vote. The observers were asked to leave the room and the Board went into closed session at 2:05 p.m.

Board of Visitors  
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The Board reconvened in open session at 2:36 p.m. Mr. Scott reviewed the topic discussed during closed session for the benefit of the observers, then asked for a motion to adoption of the Resolution certifying that the closed session was held in compliance with the Freedom of Information Act. Motion was seconded by Mr. Watkins and approved by roll call vote of the Committee members conducted by Secretary to the Board Michael Fox. (Certification Resolution is appended.)

Mr. Scott called on Provost Michael Halleran for the Provost Report. The Provost reviewed the 2016 *U.S. News & World Report* rankings, which was followed by a brief discussion, then introduced the Faculty Assembly Vice President and Chair of the Faculty Liaison Committee Professor of English Elizabeth Barnes.

Professor Barnes introduced the Faculty Presentation on the Trigger Warning Dilemma and how faculty handle potentially upsetting material presented to a class or on the syllabus that could trigger painful memories, flashbacks or panic attacks. Professor Barnes introduced Christie Porter from the Psychology Department and Melanie Dawson from the English Department, who discussed student experiences with trigger warnings. A brief discussion ensued.

Following a short break, at 3:30 p.m. the Board convened as a committee of the whole for the meeting of the **Committee on Student Affairs**. Ms. Roday presided as chair. She thanked Vice President Ambler for sending the materials related to sexual assault prevention and mental health initiatives prior to the meeting, and noted good progress was being made on these fronts. Ms. Roday reported on her meeting with students yesterday.

Vice President for Student Affairs Ginger Ambler reported on the Task Force Report and the summary of Mental Health initiatives, noting the establishment of a coordinating committee to continue the work of the task force. A brief discussion ensued.

Student liaisons Ryan Goss and Yussre El-Bardicy reported on life after college, and discussed the results of the Student Assembly survey.

Assistant Vice President for Student Affairs and Executive Director of Career Development Kathleen Powell reported on career development. She noted that the Cohen Center was moving from a placement model to a career-readiness model and reported on the results of the 2014 survey of graduated students, which had a 71% response rate. A brief discussion ensued. There being no further business, the Committee adjourned at 4:28 p.m.

Following a short break, the Rector asked for a motion that the Board of Visitors convene in Executive Session to discuss personnel matters pertaining to the performance and evaluation of specific executive employees, as provided for in Section 2.2-3711.A.1., of the Code of Virginia. Motion was made by Ms. Gerdelman, seconded by Ms. Roday and approved by voice vote. The observers were asked to leave the room and the Board went into executive session at 4:38 p.m.

The Board reconvened in open session at 6:05 p.m. Mr. Stottlemyer reviewed the topic discussed during closed session for the benefit of the observers, then asked for a motion to adopt the Resolution certifying that the closed session was held in compliance with the Freedom of Information Act. Motion was seconded by Mr. Watkins and approved by roll call vote of the

Board of Visitors  
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Committee members conducted by Secretary to the Board Michael Fox. (Certification **Resolution** is appended.)

There being no further business, the meeting recessed at 6:06 p.m. Board members moved to the Blue Room in the Wren Building for the annual ceremony, pinning of new members and signing of the Board Roster, as well as a Board photograph.

On Friday, September 18, the Board reconvened at 8:00 a.m.

Those present were:

Kendrick F. Ashton, Jr.	William H. Payne II
Ann Green Baise	Lisa E. Roday
Lynn M. Dillon	Karen Kennedy Schultz
Keith S. Fimian	Robert E. Scott
Thomas R. Frantz	DeRonda M. Short
Sue H. Gerdelman	Todd A. Stottlemeyer
James A. Hixon	John Charles Thomas
John E. Littel	H. Thomas Watkins III
Christopher M. Little	Student representative: Yohance D. Whitaker

Others present:

W. Taylor Reveley III	Michael J. Fox
Michael R. Halloran	W. Fanchon Glover
Virginia M. Ambler	Jennifer B. Latour
Henry R. Broaddus	Jeremy P. Martin
Edward C. Driscoll, Jr.	Brian W. Whitson
Samuel E. Jones	Sandra J. Wilms
Matthew T. Lambert	Timothy A. Wolfe
Kent B. Erdahl	

Also in attendance were Staff Liaison Claire Leatherwood, University Counsel Deborah Love, Alumni Association President Cindy Jarboe, Dean Kate Conley, Dean John Wells and other William and Mary staff.

With Mr. Frantz presiding as chair, the **Committee on Strategic Initiatives and New Ventures** convened as a committee of the whole. Mr. Frantz briefly reviewed the agenda, then moved that the Committee convene in Closed Session to discuss the evaluation of performance of departments or schools, as provided for in Section 2.2-3711.A. 1., of the Code of Virginia. Motion was seconded by Ms. Gerdelman and approved by voice vote. The observers were asked to leave the room and the Committee went into closed session at 8:02 a.m.

The Committee reconvened in open session at 8:22 a.m. Mr. Frantz reviewed the topic discussed during closed session, then moved to adopt the **Resolution** certifying that the closed session was held in compliance with the Freedom of Information Act. Motion was seconded by Mr. Scott and approved by roll call vote of the Board members conducted by Secretary to the Board Michael Fox. (Certification **Resolution** is appended.)

Board of Visitors  
MINUTES  
Page 5

Mr. Frantz led a general discussion on state-level developments and opportunities in bioscience and healthcare data analytics.

Vice President for Strategic Initiatives Henry Broaddus provided an update on financial aid, focusing on the impact of the William & Mary Promise. Mr. Broaddus recognized the work of Ed Irish and Tim Wolfe in gathering the data. Following a brief discussion, and there being no further business, the Committee adjourned at 9:35 a.m.

The Committee on Financial Affairs met in the Board Room from 9:45 to 10:55 a.m.

Following a short break, the Rector convened the meeting of the full Board at 11:05 a.m.

Those present were:

Kendrick F. Ashton, Jr.	Lisa E. Roday
Ann Green Baise	Karen Kennedy Schultz
Lynn M. Dillon	Robert E. Scott
Keith S. Fimian	DeRonda M. Short
Thomas R. Frantz	Todd A. Stottlemyer
Sue H. Gerdelman	John Charles Thomas
James A. Hixon	H. Thomas Watkins III
John E. Littel	Faculty representative: D. Jill Mitten
Christopher M. Little	Student representative: Yohance D. Whitaker
William H. Payne II	

Others present:

W. Taylor Reveley III	Kent B. Erdahl
Michael R. Halloran	Michael J. Fox
Virginia M. Ambler	W. Fanchon Glover
Henry R. Broaddus	Jennifer B. Latour
Edward C. Driscoll, Jr.	Jeremy P. Martin
Samuel E. Jones	Brian W. Whitson
Matthew T. Lambert	Sandra J. Wilms
Kiersten L. Boyce	

Also in attendance were Staff Liaison Claire Leatherwood, University Counsel Deborah Love, Associate University Counsel Sarah Melchior, Alumni Association President Cindy Jarboe, Richard Bland College President Debbie Sydow, Dean Kate Conley, Dean Carrie Cooper, Dean Dave Douglas, Dean John Wells, members of the William and Mary Faculty Liaison Committee and other William and Mary staff.

Rector Todd A. Stottlemyer welcomed new members Karen Schultz and Jim Hixon, Yohance Whitaker and Claire Leatherwood; Jill Mitten and Amanda Archer, and reported that faculty representative Suzanne Raitt was participating in a conference in Brussels but would be present at the November meeting. The Rector also advised that it was Judge Thomas' 65<sup>th</sup> birthday and took note of the new plaque recognizing Student Assembly presidents.

Board of Visitors  
MINUTES  
Page 6

Recognizing that a quorum was present, the Rector moved adoption of the minutes of the annual meeting of April 22-24, 2015, and the Board Retreat on July 9-10, 2015. Motion was seconded by Mr. Thomas and approved by voice vote.

In his opening remarks, the Rector commented on the July Retreat and the engaged discussion on the Promise review and future plans, acknowledged the work done to follow-up on the retreat, noting it was a good discussion for next year; thanked Susan Magill for hosting the Board at Mount Vernon; thanked the Board for full participation. Mr. Watkins stated that it was a good idea to have the retreat earlier in the summer, perhaps about the same time in 2016. The Rector commented on joint goals, recognizing the work that goes into them; commented on the upcoming plans for Homecoming and congratulated Will Payne on publishing his first book.

In his opening remarks, President Reveley advised that William and Mary was off to a good beginning to the academic year and making progress in three important areas: sexual violence prevention, mental health and racial harmony initiatives.

Mr. Stottlemeyer moved that the Board of Visitors of the College of William and Mary convene in Closed Session for the purpose of discussing internal investigations, which include discussion of personnel matters including performance or discipline of specific employees; discussing and/or approving personnel actions pertaining to the appointments, promotions and leaves of specific instructional and professional faculty; and discussing specific recommendations related to fundraising initiatives, priorities and strategies, as provided for in Section 2.2-3711.A.1., and 8., of the Code of Virginia. Motion was seconded by Mr. Scott and approved by voice vote. The observers were asked to leave the room and the Board went into closed session at 11:20 a.m.

The Board reconvened in open session at 11:26 a.m. Mr. Stottlemeyer reviewed the topics discussed during closed session, then moved to adopt the **Resolution** certifying that the closed session was held in compliance with the Freedom of Information Act. Motion was seconded by Mr. Scott and approved by roll call vote of the Board members conducted by Secretary to the Board Michael Fox. (Certification **Resolution** is appended.)

The Rector called for the reports of the standing committees.

Mr. Littel reported for the Richard Bland College Committee, welcomed the new committee members Will Payne and Karen Schultz, faculty representative Jill Mitten and student representative Amanda Archer, and briefly reviewed the agenda.

President Debbie Sydow reported that, thanks to the Richard Bland administrative team, the new academic year was off to a very strong beginning with all metrics indicating success in the achievement of RBC-19 goals. The President also expressed her appreciation to all members of the Board for their support, and expressed special thanks to Mr. Littel as a full partner in the College's ongoing transformation.

Mr. Littel advised that the Committee had reviewed resolutions on appointments, the update to the Six-Year Plan and operating budget requests, received an update on capital projects and heard a report presented by Dean of Faculty Vern Lindquist on the development of the revised shared governance model. Noting that the draft Policy Manual had been distributed to the Committee, Mr. Littel advised that the Manual should be finalized and brought to the Board for action in November.

Board of Visitors  
MINUTES  
Page 7

Mr. Littel then moved adoption as a block **Resolution 1**, Appointments to Fill Vacancies in the Instructional Faculty; **Resolution 2**, Appointments to Fill Vacancies in the Professionals and Professional Faculty; **Resolution 3**, 2016-2022 Six-Year Plan; and **Resolution 17**, 2016-2018 Operating Budget Request. Motion was seconded by Ms. Baise and approved by voice vote.

Judge Thomas reported for the Committee on Audit and Compliance, and briefly reviewed the agenda. There were no action items.

Mr. Watkins reported for the Committee on Athletics, and briefly reviewed the agenda. There were no action items.

Ms. Baise reported for the Committee on Administration, Buildings and Grounds, briefly reviewed the agenda, and provided a brief update on the Design Review Board meeting, and thanked the administration for the field trip to Zable Stadium and the Laycock Football Center.

Ms. Baise moved adoption as a block **Resolution 8**, Resolution for Transfer of Property to the William and Mary Real Estate Foundation: Blank House; **Resolution 9**, Resolution to Approve Revised Scope and Budget: Construct Integrative Wellness Center; **Resolution 10**, Resolution of the Board of Visitors of the College of William and Mary 9(D) Pooled Bond Program: Construct Integrative Wellness Center; **Resolution 11**, Resolution of the Board of Visitors of the College of William and Mary Declaring the Intention to Reimburse the Cost of Certain Expenditures: Integrative Wellness Center; and **Resolution 12**, Resolution to Approve Easement for Plumeri Park Batting Cages Underground Electric Facilities: Virginia Electric and Power Company. Motion was seconded by Mr. Thomas and approved by voice vote.

Mr. Ashton reported for the Committee on Financial Affairs, and briefly reviewed the agenda.

Mr. Ashton moved adoption as a block **Resolution 13**, College of William and Mary 2016-2022 Six-Year Plan; **Resolution 14**, College of William and Mary 2016-2018 Operating Budget Requests; **Resolution 15**, Virginia Institute of Marine Science 2016-2022 Six-Year Plan; and **Resolution 16**, Virginia Institute of Marine Science 2016-2018 Operating Budget Requests. Motion was seconded by Ms. Dillon and approved by voice vote.

Mr. Scott reported for the Committee on Academic Affairs, and briefly reviewed the agenda.

Mr. Scott moved adoption as a block **Resolution 4**, Appointments to Fill Vacancies in the Instructional Faculty; **Resolution 5**, Appointments to Fill Vacancies in the Professionals and Professional Faculty; **Resolution 6 (R)**, Designated Professorships; and **Resolution 7**, Faculty Leaves of Absence. Motion was seconded by Mr. Littel and approved by voice vote. (**Resolution 6 (R)** is appended.)

Under Old Business, Mr. Stottlemeyer provided a brief update on revisions to the *Bylaws*, thanked Bob Scott, John Littel, Deb Love and Michael Fox for their work, and advised that the revised *Bylaws* would be mailed to the Board members for their review, with action at the November meeting.

Board of Visitors  
MINUTES  
Page 8

Under New Business, Ms. Baise called the Board's attention to the ad for Richard Bland College in *Virginia Living* magazine which featured their new student representative, Amanda Archer. Ms. Short asked Aaron De Groft to comment on the Da Vinci exhibit in Mexico City, noting it was extremely successful. Mr. De Groft reported that the exhibit, "Leonardo da Vinci and the Idea of Beauty," was shown at the Palacio de Bellas Artes in Mexico City from June 26 to August 23; 387,000 people visited the exhibition after waiting six hours in line for a ticket and being able to visit for one hour. The College and the Muscarelle were recognized prominently as the organizers of the Leonardo part of the show.

Mr. Stottlemeyer moved that the Board of Visitors convene in Executive Session for the purpose of discussing personnel matters pertaining to the performance and evaluations of specific executive employees; and for consultation with legal counsel and briefings by staff members, as provided for in Section 2.2-3711.A.1., and 7., of the Code of Virginia. Motion was seconded by Mr. Little and approved by voice vote. The observers were asked to leave the room and the Board went into Executive Session at 11:50 a.m.

The Board reconvened in open session at 12:30 a.m. Mr. Stottlemeyer reviewed the topics discussed during closed session, then moved to adopt the **Resolution** certifying that the closed session was held in compliance with the Freedom of Information Act. Motion was seconded by Mr. Watkins and approved by roll call vote of the Board members conducted by the Rector. (Certification **Resolution** is appended.)

There being no further business, the Board adjourned at 12:30 p.m.

Board of Visitors

September 16, 2015

**CERTIFICATION OF CLOSED SESSION**

WHEREAS, the Board of Visitors of The College of William and Mary in Virginia has convened a closed session on this date pursuant to an affirmative recorded vote and in accordance with the provisions of The Virginia Freedom of Information Act; and

WHEREAS, §2.2-3712.D. of the Code of Virginia requires a certification by this Board of Visitors that such closed session was conducted in conformity with Virginia law;

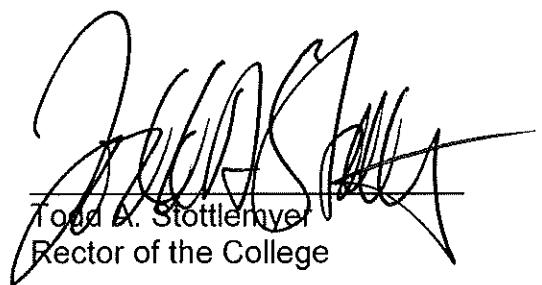
NOW, THEREFORE, BE IT RESOLVED, That the Board of Visitors, reconvening in open session, hereby certifies that, to the best of each member's knowledge, (i) only public business matters lawfully exempted from open meeting requirements by Virginia law were discussed in the closed session to which this certification 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 Board of Visitors.

**VOTE**

AYES: 15

NAYS: 0

**ABSENT DURING CLOSED SESSION:**



Todd A. Stottlemyer  
Rector of the College

Committee on Academic Affairs

**Resolution Provost Report-1**

September 17, 2015

**CERTIFICATION OF CLOSED SESSION**

WHEREAS, the Board of Visitors has convened a closed session on this date pursuant to an affirmative recorded vote and in accordance with the provisions of The Virginia Freedom of Information Act; and

WHEREAS, §2.2-3712.D. of the Code of Virginia requires a certification by this Committee that such closed session was conducted in conformity with Virginia law;

NOW, THEREFORE, BE IT RESOLVED, That the Board of Visitors, reconvening in open session, 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 session to which this certification 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 Board of Visitors.

**VOTE**

AYES: 15

NAYS: 0

**ABSENT DURING CLOSED SESSION:**



Robert E. Scott  
Chair  
Committee on Academic Affairs

Board of Visitors

September 17, 2015

### CERTIFICATION OF CLOSED SESSION

WHEREAS, the Board of Visitors of The College of William and Mary in Virginia has convened a closed session on this date pursuant to an affirmative recorded vote and in accordance with the provisions of The Virginia Freedom of Information Act; and

WHEREAS, §2.2-3712.D. of the Code of Virginia requires a certification by this Board of Visitors that such closed session was conducted in conformity with Virginia law;

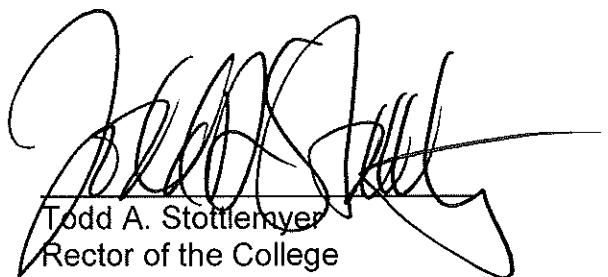
NOW, THEREFORE, BE IT RESOLVED, That the Board of Visitors, reconvening in open session, hereby certifies that, to the best of each member's knowledge, (i) only public business matters lawfully exempted from open meeting requirements by Virginia law were discussed in the closed session to which this certification 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 Board of Visitors.

#### VOTE

AYES: 16

NAYS: 0

#### ABSENT DURING CLOSED SESSION:



Todd A. Stottlemyer  
Rector of the College

Committee on Strategic Initiatives and New Ventures

**Resolution SI&NV-1**

September 18, 2015

**CERTIFICATION OF CLOSED SESSION**

WHEREAS, the Board of Visitors Committee on Strategic Initiatives and New Ventures has convened a closed session on this date pursuant to an affirmative recorded vote and in accordance with the provisions of The Virginia Freedom of Information Act; and

WHEREAS, §2.2-3712.D. of the Code of Virginia requires a certification by this Committee that such closed session was conducted in conformity with Virginia law;

NOW, THEREFORE, BE IT RESOLVED, That the Committee on Strategic Initiatives and New Ventures, reconvening in open session, 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 session to which this certification 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 Committee on Financial Affairs.

**VOTE**

AYES: 17

NAYS: 0

**ABSENT DURING CLOSED SESSION:**



Thomas R. Frantz  
Chair  
Committee on Strategic Initiatives and  
New Ventures

Board of Visitors

September 18, 2015

CERTIFICATION OF CLOSED SESSION

WHEREAS, the Board of Visitors of The College of William and Mary in Virginia has convened a closed session on this date pursuant to an affirmative recorded vote and in accordance with the provisions of The Virginia Freedom of Information Act; and

WHEREAS, §2.2-3712.D. of the Code of Virginia requires a certification by this Board of Visitors that such closed session was conducted in conformity with Virginia law;

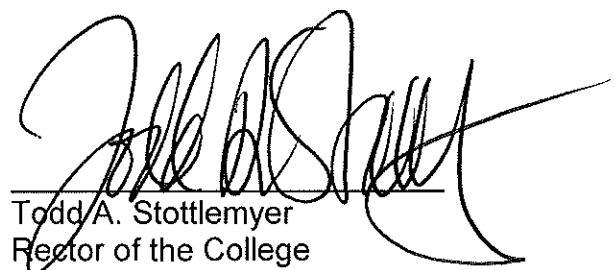
NOW, THEREFORE, BE IT RESOLVED, That the Board of Visitors, reconvening in open session, hereby certifies that, to the best of each member's knowledge, (i) only public business matters lawfully exempted from open meeting requirements by Virginia law were discussed in the closed session to which this certification 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 Board of Visitors.

VOTE

AYES: 17

NAYS: 0

ABSENT DURING CLOSED SESSION:



Todd A. Stottlemyer  
Rector of the College

Board of Visitors

September 18, 2015

**CERTIFICATION OF CLOSED SESSION**

WHEREAS, the Board of Visitors of The College of William and Mary in Virginia has convened a closed session on this date pursuant to an affirmative recorded vote and in accordance with the provisions of The Virginia Freedom of Information Act; and

WHEREAS, §2.2-3712.D. of the Code of Virginia requires a certification by this Board of Visitors that such closed session was conducted in conformity with Virginia law;

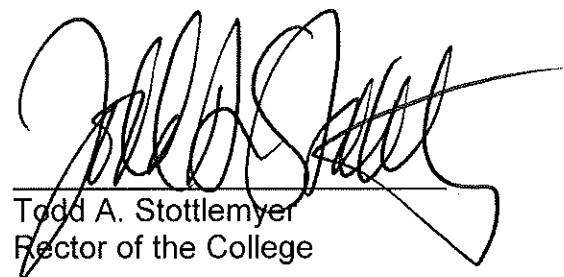
NOW, THEREFORE, BE IT RESOLVED, That the Board of Visitors, reconvening in open session, hereby certifies that, to the best of each member's knowledge, (i) only public business matters lawfully exempted from open meeting requirements by Virginia law were discussed in the closed session to which this certification 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 Board of Visitors.

**VOTE**

AYES: 17

NAYS: 0

**ABSENT DURING CLOSED SESSION:**



Todd A. Stottlemyer  
Rector of the College

Board of Visitors

Resolution 6(R)

September 16-18, 2015

Page 1 of 1

COLLEGE OF WILLIAM AND MARY  
DESIGNATED PROFESSORSHIPS

The following members of the Instructional Faculty of the College of William and Mary have been recommended for a designated professorship.

BE IT RESOLVED, That upon recommendation of the President, the Board of Visitors of the College of William and Mary approves the designated professorships for the following members of the Faculty of the College, effective with the 2015-2016 academic year:

MATTHEW J. ALLAR, Class of 1955 Associate Professor of Theatre, Speech and Dance

PAULA C. BLANK, Sallie Gertrude Smoot Spears Professor of English

NANCY COMBS, Ernest W. Goodrich Professor of Law

NEAL E. DEVINS, Sandra Day O'Connor Professor of Law

H. KATHERINE GUTHRIE, Mansfield Associate Professor of Business

PAUL MANNA, Isabelle and Jerome E. Hyman Distinguished University Professor of Government

CHRISTINE L. NEMACHECK, Wilson and Martha Claiborne Stephens Associate Professor of Government

PATRICIA L. VAHLE, Mansfield Associate Professor of Physics

AGENDA ITEMS  
Board of Visitors Meeting  
The College of William and Mary in Virginia

November 18-20, 2015  
Board Room - Blow Memorial Hall

RICHARD BLAND COLLEGE

Resolution 1, <i>tab #1</i>	Adoption of Changes to Richard Bland College Policy Manual ( <b>see separate booklet</b> )
Resolution 2, <i>tab #2</i>	Modification to the Faculty Handbook with Regard to Specified Term Appointments
Resolution 12, <i>tab #12</i>	Receipt of the Consolidated Financial Report of The College of William and Mary in Virginia and Richard Bland College for the Fiscal Year Ended June 30, 2015 ( <i>joint with William and Mary</i> )

COLLEGE OF WILLIAM AND MARY

Resolution 3, <i>tab #3</i>	Approval of the Office of Internal Audit 2016 Work Plan
Resolution 4, <i>tab #4</i>	Appointments to Fill a Vacancy in the Executive Faculty
Resolution 5, <i>tab #5</i>	Appointments to Fill a Vacancy in the Instructional Faculty
Resolution 6, <i>tab #6</i>	Appointments to Fill Vacancies in the Professionals and Professional Faculty
Resolution 7, <i>tab #7</i>	Designated Professorships
Resolution 8, <i>tab #8</i>	Faculty Leave of Absence
Resolution 9, <i>tab #9</i>	Retirement of John M. Brubaker School of Marine Science

Board of Visitors  
AGENDA ITEMS  
November 18-20, 2015

Resolution 10, <i>tab #10</i>	Resolution to Approve Easement for New Transformer for Zable Stadium Underground Electric Facilities: Virginia Electric and Power Company
Resolution 11, <i>tab #11</i>	Continuation: William & Mary Promise
Resolution 12, <i>tab #12</i>	Receipt of the Consolidated Financial Report of The College of William and Mary in Virginia and Richard Bland College for the Fiscal Year Ended June 30, 2015 ( <i>joint with Richard Bland College</i> )
Resolution 13, <i>tab #13</i>	Receipt of the Financial Report of the Intercollegiate Athletic Department for the Fiscal Year Ended June 30, 2015
Resolution 14, <i>tab #14</i>	Amendments to the Bylaws of the Board of Visitors

RICHARD BLAND COLLEGE  
RESOLUTIONS

## **ADOPTION OF CHANGES TO RICHARD BLAND COLLEGE POLICY MANUAL**

At the April 24, 2015, meeting, the Board of Visitors approved **Resolution 1(R), Approval of the Richard Bland College Policy Manual**.

Additional policies have been developed, intended to supplement the Policy Manual as approved.

**THEREFORE, BE IT RESOLVED**, That on recommendation of the President, the Board of Visitors of The College of William and Mary in Virginia approves the additional policies to supplement the existing Richard Bland College Policy Manual; and

**BE IT FURTHER RESOLVED**, That the policies contained in the Richard Bland College Policy Manual (see *separate booklet*) supersede and replace all previous Richard Bland College policies on the same subjects, and to the extent there is a conflict between the policies in the Richard Bland College Policy Manual and other, non-superseded policies, the terms of the Richard Bland College Policy Manual control; and

**BE IT FURTHER RESOLVED**, That the Board authorizes the President of Richard Bland College to interpret, amend, supplement, and edit the Richard Bland College Policy Manual, and to delegate this authority as appropriate; and

**BE IT FINALLY RESOLVED**, That the Board charges the President with the responsibility to recommend to the Board such additional College-wide policies or policy changes of significance as warrant Board approval.

**RICHARD BLAND COLLEGE  
MODIFICATION TO THE FACULTY HANDBOOK  
WITH REGARD TO SPECIFIED TERM APPOINTMENTS**

At the December 9, 2011, meeting, the Board of Visitors approved **Resolution 3, Changes to the College's Faculty Handbook** for Richard Bland College.

The Faculty Handbook establishes three categories of full-time faculty appointments, including "specified term appointments."

Specified-term appointments are a flexible means of providing appropriate faculty staffing to satisfy curricular and other institutional needs, but additional specifications for such appointments are useful.

**THEREFORE, BE IT RESOLVED**, That on recommendation of the President, the Board of Visitors of The College of William and Mary in Virginia approves the amendment of the Faculty Handbook by replacing Section VIII.E with the language on the following pages.

**SECTION VIII.****E. FACULTY APPOINTMENTS**

Full-time faculty appointments at the College are held under one of the following categories:

1. Tenured appointments – Richard Bland College accepts the principles of tenure. A tenured appointment may be terminated by the College only for adequate cause. A detailed description of the rights, obligations, and policies associated with a tenured appointment may be found in the Academic Tenure Policy.
2. Tenure-eligible appointments – Faculty having tenure on the effective date of this policy shall, unless they elect otherwise, remain subject to the Academic Tenure Policy. Faculty who hold tenure-eligible appointments may be considered for tenure under the provisions specified in the Academic Tenure Policy.
3. Non-tenure track (specified-term) appointments – A specified-term appointment terminates on the date specified in the appointment letter and may be granted for periods up to five years.
  - a. Initial Appointment – The first year of employment for specified-term teaching faculty.
  - b. Reappointment – After the initial appointment, the faculty member shall be evaluated and may be recommended for reappointment of one (1), three (3), or five (5) years in accordance with the procedure established for evaluation in VIII.F.
    - i. One-year Appointment -- A one-year appointment shall be for one (1) year and may be renewed annually.
    - ii. Multi-year Appointments -- Multi-year appointments shall be for three (3) or five (5) years in duration. Only specified-term teaching faculty who are employed in unrestricted full-time appointments and have been recommended for reappointment are eligible for three- and five-year appointments. Neither a three three-year appointment nor a five- year appointment shall be affected by change in faculty rank.
  - c. Sequence of Appointment – No faculty member appointed under this section shall be eligible for a three-year appointment until the completion of three consecutive one-year appointments, including the initial appointment. No faculty member appointed under this section shall be eligible for a five-year appointment until the completion of a three-year appointment. Appointment and reappointment decisions

shall be made subject to all other provisions of this policy and within the discretion of the President. Nothing in this policy is intended to limit the number of one-year and three-year appointments that may be granted, nor shall this policy prohibit the granting of a shorter appointment to a faculty member who previously held a longer term appointment.

- d. Nonrenewal of Appointment - Specified-term teaching faculty have no expectation of employment beyond the end date of the current appointment unless a reappointment is issued. Each appointment is for the specified duration contained in its terms, which ceases on the end date therein, unless reappointment is offered.
- e. Notice of Nonrenewal – For one-year appointments, notice of nonrenewal of the appointment contract shall be given by March 1 of the first contract year, by December 15 of the second contract year, and twelve months before the expiration of the third contract year. For three- and five-year appointments, notice of nonrenewal of the appointment contract shall be given at least twelve months before the expiration of the final contract year. Upon its inability or failure to give notice by the required date, the College may meet this requirement by providing advance notice time commensurate with the above time duration.

COLLEGE OF WILLIAM AND MARY  
RESOLUTIONS

Board of Visitors

Resolution 3

November 18-20, 2015

Page 1 of 1

COLLEGE OF WILLIAM AND MARY and RICHARD BLAND COLLEGE  
APPROVAL OF 2016 INTERNAL AUDIT WORK PLAN

As provided in the Office of Internal Audit Charter, the Director is responsible for preparing comprehensive work plans based upon his judgment and a risk assessment model.

The proposed 2016 Work Plan for the Office of Internal Audit includes the following audits:

- Critical incident response readiness evaluation
- Donor gift restriction compliance review
- Fixed Asset audit
- Facilities Department time and work order reporting review
- Dining services contract compliance and operating procedures audit
- Conference Services business processes audit
- Decentralized Accounts Payable policy compliance audit
- Accounts payable vendor file access control review
- Fleet vehicle internal control review
- Richard Bland College internal control review
- Richard Bland College Athletic Department review
- VIMS Analytical Service Center business process audit
- VIMS Gift Shop internal control review
- Additional requests from the Board of Visitors and management

Recurring Audit Activities:

- Quarterly small purchase charge card monitoring
- Commonwealth Fraud, Waste and Abuse Hotline Investigations

The 2016 Work Plan has been reviewed by the Committee on Audit and Compliance and management of the College of William and Mary and Richard Bland College, and is hereby recommended to the Board of Visitors.

THEREFORE, BE IT RESOLVED, That the 2016 Work Plan for the Office of Internal Audit is approved by the Board of Visitors.

Board of Visitors

Resolution 4

November 18-20, 2015

Page 1 of 1

COLLEGE OF WILLIAM AND MARY  
APPOINTMENT TO FILL A VACANCY IN THE  
EXECUTIVE FACULTY

A vacancy in the Executive Faculty of the College of William and Mary has resulted because of resignation, termination or the approval of an additional position.

BE IT RESOLVED, That upon recommendation of the President, the Board of Visitors of the College of William and Mary approves the appointment of the following individual to fill this position:

AMY STOAKLEY SEBRING, Chief Financial Officer, effective  
January 1, 2016

B.A., Duke University, 1993  
M.P.P., College of William & Mary, 1995

Virginia Commonwealth University  
Senior Associate Dean for Finance and Administration, School of  
Medicine, and Executive Director and Chief Operating Officer, Medical  
Center, 2013-2015  
Senior Associate Dean for Finance and Administration, 2010-2013  
Associate Dean for Finance and Administration, 2008-2010  
Assistant Dean for Finance and Administration, 2006-2008

Virginia General Assembly  
Legislative Fiscal Analyst, Senate Finance Committee, 2002-2006

State Council of Higher Education for Virginia  
Finance Policy Director, 2000-2002

Virginia Department of Planning and Budget  
Budget Analyst, 1997-2000

Education Commission of the States  
Research Associate, 1995-1997

COLLEGE OF WILLIAM AND MARY  
APPOINTMENT TO A FILL VACANCY IN THE  
INSTRUCTIONAL FACULTY

Vacancies in the Instructional Faculty of the College of William and Mary have resulted because of resignations, terminations or the approval of additional positions.

BE IT RESOLVED, That upon recommendation of the President, the Board of Visitors of the College of William and Mary approves the appointment of the following individual to fill this position effective with the 2015-2016 academic year:

NGUYEN TRAN, Assistant Professor of Military Science

B.S., Old Dominion University, 2001  
M.Ed., Strayer University, 2012

U.S. Army  
Selective Service Officer, 2011-2015  
Security, Plans and Operations Officer, 2010-2011  
Maintenance Officer, 2010  
Commander, 2007-2010

COLLEGE OF WILLIAM AND MARY  
APPOINTMENTS TO FILL VACANCIES IN THE  
PROFESSIONALS AND PROFESSIONAL FACULTY

Vacancies in the Professionals and Professional Faculty of the College of William and Mary have resulted because of resignations, terminations or the approval of additional positions.

BE IT RESOLVED, That upon recommendation of the President, the Board of Visitors of the College of William and Mary approves the appointments of the following individuals to fill these positions, effective with the dates listed below:

JESSICA D. AIKEN, Assistant Director, Volunteer Engagement, effective April 25, 2015

B.S., James Madison University, 2010

College of William & Mary  
Assistant Director, University Events, 2014-2015  
Assistant Director, Alumni Events, 2012-2014

Kingsmill Resort  
Catering Sales Manager, 2011-2012

Williamsburg Event Rentals  
Rentals Consultant, 2010-2011

ELISABETH A. BEAL, Assistant Dean, Career Services, effective September 10, 2015

B.A., St. Olaf College, 2009  
J.D., University of Miami School of Law, 2012

William & Mary Law School  
Director, Post-Graduate Fellowship Programs, Office of Career Services, 2014-2015

Morgan, Lewis & Bockius, LLP  
Associate, Labor and Employment Practice Group, 2012-2014

COLLEGE OF WILLIAM AND MARY  
APPOINTMENTS TO FILL VACANCIES IN THE  
PROFESSIONALS AND PROFESSIONAL FACULTY

VALERIE J. CUSHMAN, Director, Alumnae Initiatives, effective  
May 20, 2015

B.S.E., State University of New York at Cortland, 1984  
M.S.E., East Stroudsburg University, 1988  
Ph.D., Syracuse University, 2000

Cenergistic, The Energy Conservation Company  
Education Consultant, 2014-2015  
Vice President, Marketing, 2013-2014

Washington and Lee University  
Senior Assistant to the President, 2007-2013

Randolph College  
Special Assistant to the President, Director of Athletics and Chair of  
Physical Education, 1997-2007

BARBARA DRAUGHON, Senior Director of Regional Advancement – DC  
Metro, effective September 10, 2015

B.A., The Ohio State University, 1988

Volunteers of America, Inc.  
Director of Development, Major Gifts, 2009-2015

The Nature Conservancy  
Associate, Corporations and Foundations, 2009  
Campaign Priority Manager, 2008  
Director of Development, Andes Division, 2000-2002

National Children's Museum  
Senior Development Manager, 2005-2008

Independent Consultant, 2004-2005

Rare  
Director of Development, 2002-2004

COLLEGE OF WILLIAM AND MARY  
APPOINTMENTS TO FILL VACANCIES IN THE  
PROFESSIONALS AND PROFESSIONAL FACULTY

BARBARA DRAUGHON, (Cont'd)

Smithsonian Institution  
Development Officer, National Museum of Natural History, 1997-2000

Ohio Historical Society  
Development Officer, 1994-1997

JENNIFER A. FLOOR, Staff Psychologist, effective October 10, 2015

B.A. George Mason University, 2005  
M.A. (2007) and Psy.D. (2010), The Chicago School of Professional  
Psychology

Thriveworks/Private Practice  
Licensed Clinical Psychologist, 2015

Central State Hospital  
Psychologist II, 2011-2015

College of William & Mary  
Resident in Psychology, Counseling Center, 2010-2011

ROBBIE BANTOM GRAHAM, Senior Director, Stewardship and Donor  
Relations, effective September 25, 2015

B.A., Georgetown University, 1997

Georgetown University, Office of Advancement  
Director of Donor Relations, 2013-2015  
Director of Development and Campaign Events, 2008-2013  
Director of Special Events, 2004-2008  
Associate Director of Special Events, 2002-2004  
Director of Workforce Planning and Professional Development, 2000-2002  
Executive Assistant to the Associate Vice President for Advancement  
Services, Office of Alumni and University Relations, 1997-2000

COLLEGE OF WILLIAM AND MARY  
APPOINTMENTS TO FILL VACANCIES IN THE  
PROFESSIONALS AND PROFESSIONAL FACULTY

JESSICA HUDSON GUZZO, Virginia Institute of Marine Science Director of Sponsored Programs, effective November 10, 2015

B.A., Old Dominion University, 2002

George Mason University  
Director of Post Award Services, 2013-2015

North Carolina State University  
Financial Consultant, College of Education, 2013-2014  
Director of Finance and Business, College of Education, 2007-2013  
Accounting Technician, College of Agriculture and Life Sciences, 2005-2007

Glasser and Glasser, PLC  
Accounting Assistant, 1999-2005

SCOTT A. HALE, Assistant Director, Volunteer Management, effective September 10, 2015

B.A., Olivet Nazarene University, 2010  
M.Ed., West Virginia University, 2014

Netorian, LLC  
Battle Command Sustainment Support System Instructor, 2014-2015

Grace Church  
Production Director, 2012-2015

Stealth Force Seven Improv Comedy  
Owner, 2009-2014

James S. McNider, III PLC  
Paralegal, 2012-2014

AmeriCorps  
Member, 2011-2012

COLLEGE OF WILLIAM AND MARY  
APPOINTMENTS TO FILL VACANCIES IN THE  
PROFESSIONALS AND PROFESSIONAL FACULTY

MARJORIE A. HOLTZ, Assistant Director, Student Philanthropy & Recent Graduate Engagement, effective August 25, 2015

B.S., Villanova University, 2011  
M.A., Columbia University, 2012

College of William & Mary  
Coordinator for Student Philanthropy & Recent Graduate Engagement,  
Office of University Advancement, 2014-2015

Columbia University  
Coordinator for Student Philanthropy, Columbia College Fund, 2012-2014

Villanova University  
Program Assistant, Office of Student Life, 2012

JORDAN CARL HUNT, Associate Director, Development for Annual Giving, Mason School of Business, effective October 25, 2015

B.A., Utah State University, 2013

Sigma Phi Epsilon  
Advancement Officer, 2013-2015

U.S. House of Representatives  
Congressional Intern for Congressman Chris Stewart, 2013

PATRICE LINCOLN, Associate Director, Career Advising and Education, Mason School of Business, effective November 10, 2015

B.S. (1999) and M.B.A. (2011), Fitchburg State University

Mount Wachusett Community College  
Dean, Access & Transition, K-12 Partnerships, 2013-2015  
Assistant Dean, Access and Transition, 2011-2013  
Adjunct Faculty, 2010-2015

COLLEGE OF WILLIAM AND MARY  
APPOINTMENTS TO FILL VACANCIES IN THE  
PROFESSIONALS AND PROFESSIONAL FACULTY

BRADY K. MILLER, Executive Director, Advancement Events, effective  
September 1, 2015

B.A., Truman State University, 2003  
M.L.S., Indiana University, 2014

Indiana University  
Director of Special and Academic Events, Office of University Events,  
2013-2015  
Special Projects Manager, Office of the Chancellor, 2009-2013

Kansas State University Foundation  
Assistant Director of Events, 2005-2008

Manhattan Arts Center, Manhattan, Kansas  
Program and Marketing Director, 2003-2005

REBECCA MURRAY, Assistant Director of Campaign, effective  
May 10, 2015

B.A., Bucknell University, 1993  
M.S., Radford University, 2015

Virginia Polytechnic Institute and State University, Pamplin College of  
Business  
Assistant Director of Development, 2013-2015  
Development Associate, 2010-2012

Manifest Journals, LLC  
Consultant, 2012-2013

Cardagin Networks, Inc.  
Area Manager, New River Valley, 2012

COLLEGE OF WILLIAM AND MARY  
APPOINTMENTS TO FILL VACANCIES IN THE  
PROFESSIONALS AND PROFESSIONAL FACULTY

LUIZA NEWLIN-LUKOWICZ, Associate Director, Corporate & Foundation Relations, effective July 10, 2015

B.A. (2005) and M.A. (2007), Adam Mickiewicz University, Poland  
M.A., Eastern Michigan University, 2009  
Ph.D., New York University, 2015

New York University  
Adjunct Professor, Department of Linguistics, 2009-2015

LAUREN I. PETTENGILL, Assistant Dean of Admission, effective October 10, 2015

B.S., University of Mary Washington, 2013

College of William & Mary  
Administrative Coordinator, Department of Modern Languages and Literatures, 2014-2015

Stafford County Public Schools  
Substitute Teacher, 2013-2014

Potomac Tile and Marble, LLC  
Office Assistant, 2012-2014

ALLISON T. PURYEAR, Senior Assistant Director, Regional Alumni Engagement, effective June 10, 2015

B.A., Christopher Newport University, 2013

College of William & Mary  
Assistant Director of Alumni Engagement, Office of University Advancement, 2014-2015

Phi Mu Fraternity  
Chapter Leadership Consultant, Peachtree City, GA, 2013-2014

COLLEGE OF WILLIAM AND MARY  
APPOINTMENTS TO FILL VACANCIES IN THE  
PROFESSIONALS AND PROFESSIONAL FACULTY

WILMARIE RODRIGUEZ, Assistant Dean of Students – Generalist,  
effective November 2, 2015

B.S., Excelsior College, 2007  
M.Ed., Trident University International, 2012  
Ed.S., Walden University, 2015

College of William & Mary  
Academic Advisor, 2014-2015

Department of the Army  
Education Services Specialist, 2013-2014  
Guidance Counselor, 2011-2012

Serco  
Counselor, Army Career and Alumni Program, 2012-2013

Texas A&M University  
Enrollment Management Specialist, 2010-2011

MICHAEL SHUSHAN, Director, Web and Digital Initiatives, effective  
August 17, 2015

B.A., Emerson College, 1992

Virginia Alcoholic Beverage Control  
User Interface Developer and User Experience Designer, 2011-2015

Three Pillar Global, Inc.  
User Interface Developer, 2011

Comcast Interactive Media  
User Interface Developer, 2007-2011

Integrated Media Concepts  
Interactive Developer, 2005-2006

Freelance Web Consultant, 2001-2006

COLLEGE OF WILLIAM AND MARY  
APPOINTMENTS TO FILL VACANCIES IN THE  
PROFESSIONALS AND PROFESSIONAL FACULTY

MICHAEL SHUSHAN, (Cont'd)

CDNOW  
Product Manager, 1999-2001

United Press International  
Web Content Producer, 1998-1999

Digital Culture Interactive  
Co-founder and Publisher, 1995-1998

JESSICA F. SKINNER, Assistant Director of Volunteer Engagement,  
effective May 25, 2015

B.A., College of William & Mary, 2006  
M.A., George Mason University, 2009

College of William & Mary, University Advancement  
Executive Assistant to the Associate Vice President for Advancement  
Services, 2010-2015  
Executive Secretary, Corporate and Foundation Relations, 2009-2010

MICHAEL A. STEELMAN, Director, Alumni Career Services, effective  
September 10, 2015

B.M.A., University of Michigan, 2002

The George Washington University  
Director of Alumni Career Services, 2012-2015  
Associate Director of Alumni Career and Volunteer Services, 2010-2012  
Associate Director of Alumni Volunteer Programs, 2008-2010

Levine School of Music  
Manager of Major and Corporate Gifts, 2006-2007

University of Michigan  
Coordinator of Resources and Student Outreach, Arts at Michigan,  
2002-2006

COLLEGE OF WILLIAM AND MARY  
APPOINTMENTS TO FILL VACANCIES IN THE  
PROFESSIONALS AND PROFESSIONAL FACULTY

TAYLOR S. STEPHENS, Assistant Dean of Admission, effective  
October 5, 2015

B.A., College of William & Mary, 2014

2Revolutions, LLC  
Research and Technical Writing Consultant, 2015

Stephens Funeral Home, Inc.  
Project and Growth Management, 2014-2015

CHRISTOPHER M. STRATTON, Senior Associate Director, Volunteer  
Engagement, effective June 10, 2015

B.B.A., College of William & Mary, 2008

College of William & Mary  
Assistant Director, Volunteer Engagement, 2014-2015  
Assistant Director of Development for Athletics, 2011-2014

Longwood University  
Special Assistant to the Director of Athletics, 2010-2011

Hampden-Sydney College  
Assistant Sports Information Director, 2009-2010  
Assistant Basketball Coach, 2009-2010

JULIE SIZEMORE TUCKER, Marketing Manager, effective July 25, 2015

B.A., College of William & Mary, 2001  
A.A.S., Parsons School of Design, 2005

The University of North Carolina at Chapel Hill  
Assistant Director of Admissions for Communications, 2007-2015

Futurethink, LLC  
Art Director, 2005-2007

Two Rivers Multimedia  
Freelance Designer, 2005

Board of Visitors

Resolution 7

November 18-20, 2015

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COLLEGE OF WILLIAM AND MARY  
DESIGNATED PROFESSORSHIPS

The following members of the Instructional Faculty of the College of William and Mary have been recommended for a designated professorship.

BE IT RESOLVED, That upon recommendation of the President, the Board of Visitors of the College of William and Mary approves the designated professorships for the following members of the Faculty of the College, effective with the 2015-2016 academic year:

DENISE A. JONES, John S. Quinn Term Professor of Business

KAREN LOCKE, Pat and Margaret Walsh Professor in Leadership and Ethics

NICHOLAS POPPER, Class of 1952 Associate Professor of History

Board of Visitors

Resolution 8

November 18-20, 2015

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COLLEGE OF WILLIAM AND MARY  
FACULTY LEAVE OF ABSENCE

The following faculty member has requested a leave of absence without pay or with partial pay during the 2015-2016 academic year for the reason given.

BE IT RESOLVED, That upon recommendation of the President, the Board of Visitors of the College of William and Mary approves this leave of absence:

ERIC HAN, Associate Professor of History and Asian and Middle Eastern Studies, to accept a Japanese Studies Fellowship with the Japan Foundation

COLLEGE OF WILLIAM AND MARY  
RETIREMENT OF JOHN M. BRUBAKER  
SCHOOL OF MARINE SCIENCE

John M. Brubaker joined the faculty of the College of William and Mary in 1983 as an Assistant Professor in the School of Marine Science, after completing a Post Doctoral Fellowship at the University of Western Australia. He received his A.B. in Physics in 1969 from Miami University of Ohio, and his Ph.D. in Physical Oceanography in 1979 from Oregon State University. He was promoted to Associate Professor in the School of Marine Science in 1989, and in 2008 he received the Virginia Institute of Marine Science Outstanding Teacher Award.

Professor Brubaker's research has focused on the physics of estuaries, lakes, and the coastal zone, and has included applications of physical oceanography to diverse interdisciplinary issues. His physically-oriented studies have included turbulent microstructure in lakes, dynamics of estuarine fronts, wind-induced mixing on the shelf, and coastal sea level anomalies. His interdisciplinary studies have included the transport of oyster larvae in estuaries, movement of zooplankton on the shelf, estuarine hypoxia, and factors contributing to attenuation of light in coastal waters. Professor Brubaker has applied his expertise to many societally-relevant issues, including the effects of construction on estuarine circulation in Hampton Roads, analysis of extreme water levels in the Chesapeake Bay, use of observing systems by the Coast Guard, and transport of pollutants in the Elizabeth River. He has served for many years on the steering committee of the Mid-Atlantic Bight Physical Oceanography and Meteorology Conference series, and also as the VIMS representative to the Mid-Atlantic Regional Association Coastal Ocean Observing System.

Professor Brubaker has been one of School of Marine Science's most dedicated teachers, having led the School's "Fundamentals of Physical Oceanography" core course for more than 20 years. He team taught the Marine Science Minor's undergraduate class on "Field Studies in Coastal Marine Environments" for the last seven years, and contributed to dozens of other courses over more three decades. Because of his outstanding ability to relate the intricacies of physical oceanography to geologists, chemists, biologists, and fisheries scientists, Professor Brubaker has been in popular demand as a graduate advisory committee member. Since arriving at VIMS in the 1980s, he has served as a member of the Masters or Ph.D. advisor committees of well over 100 graduate students. Professor Brubaker has also been a selfless contributor to university governance, having served in dozens of positions over the years, including secretary of both the SMS Academic Council and the SMS Faculty Council, Chair of the SMS Fellowship Committee, and Chair of Physical Science Department's Physical Oceanography Subfaculty.

Board of Visitors

Resolution 9

November 18-20, 2015

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BE IT RESOLVED, That the Board of Visitors acknowledges the retirement of Professor John M. Brubaker; expresses its appreciation to him for the many contributions he has made to the College of William and Mary; and approves, with deep gratitude for his 33 years of devoted service to the university, a change in status from Associate Professor of Marine Science to Professor of Marine Science, Emeritus.

BE IT FURTHER RESOLVED, That this resolution be spread upon the minutes of the Board and a copy of the same be delivered to Professor Brubaker with best wishes for continuing and creative work in the years ahead.

**RESOLUTION TO APPROVE  
EASEMENT FOR NEW TRANSFORMER FOR ZABLE STADIUM  
UNDERGROUND ELECTRIC FACILITIES  
VIRGINIA ELECTRIC AND POWER COMPANY**

**WHEREAS**, the College requests Board of Visitors' approval of the following utility easement for Virginia Electric and Power Company; and

**WHEREAS**, the College and the Commonwealth entered into a 2006 Management Agreement (the "Agreement"), governed by the restructured Higher Education Financial and Administrative Operations Act of 2005, Chapter 4.10 of the Title 23 of the *Code of Virginia*; and

**WHEREAS**, the Agreement was renewed in 2009 and 2013; and

**WHEREAS**, the Agreement authorizes the College's Board of Visitors to approve easements locally; and

**WHEREAS**, Virginia Electric and Power Company requested an easement of right-of-way, fifteen (15') in width, to lay, erect, construct, operate, maintain and repair electric primary (34.5 KV) underground conduits and cables and all equipment, accessories and appurtenances necessary in connection therewith, for the purpose of installing and maintaining underground electric facilities for the new transformer for Zable Stadium (under capital project 204-90005); and

**WHEREAS**, the right-of-way will be outside of the limits of the existing easement (right-of-way), thus requiring the new easement; and

**WHEREAS**, there is no transfer of property involved which would require action by the General Assembly (per Chapter 774, 1995 Acts of Assembly); thus

**THEREFORE, BE IT RESOLVED**, by the Rector and the Board of Visitors of The College of William and Mary in Virginia, that approval is given, in accordance with all authorities, policies, and procedures in force and necessary to accomplish same, for the easement named in the resolution; and that

**FURTHER RESOLVED**, That the Senior Vice President for Finance and Administration and his staff are authorized to prepare and execute any and all necessary documents pertaining to the approval and recordation of such easements in the College's name.

**COLLEGE OF WILLIAM AND MARY**

**CONTINUATION: WILLIAM & MARY PROMISE**

For fiscal year 2017, the administration proposes that the university maintain the William & Mary Promise as the operating model for enhancing and sustaining quality, affordability and access. The tuition structure included in the Promise, in combination with its other elements, provides the University with the resources necessary to implement its Six-year Plan as submitted to the Commonwealth while providing a four-year tuition guarantee for incoming Virginia undergraduates, reducing net tuition for the vast majority of middle-income Virginia families, and reducing the student loan debt burden for these students.

In April, 2013, the Board of Visitors approved **Resolution 25, Approval and Implementation: William and Mary Promise**, setting tuition rates for incoming full-time in-state undergraduate students for fiscal years 2014 through 2016. A review of the program shows that the university has been able to increase applicants and maintain the overall quality of the undergraduate student body while generating the resources necessary to improve faculty and staff salaries and implement other institutional initiatives. Setting FY 2017 tuition for incoming full-time in-state undergraduates now provides prospective Virginia students and their families with tuition information prior to accepting an offer of admission.

Tuition and fees for out-of-state undergraduate as well as in-state and out-of-state graduate and professional students will be set by the Board at its April, 2016 meeting, reflecting any State funding actions and market conditions for each student group.

Revenue generated through William & Mary Promise allows the College to implement the College's Six-year/Strategic Plans. Outside expenditures in support of student aid, revenues generated through the Promise will support a merit-based salary pool for faculty and staff, the College's share of any state-mandated increases in the employer's share of retirement or other benefits, and targeted investment in College programs and activities.

**THEREFORE, BE IT RESOLVED**, That the Board of Visitors of The College of William and Mary in Virginia, on the recommendation of the President, approves continuation of the William & Mary Promise as the operating model for the university, and

**BE IT FURTHER RESOLVED**, That the Board of Visitors of The College of William and Mary in Virginia, on the recommendation of the President, approves the FY 2017 tuition for incoming in-state undergraduates at \$15,674.

Board of Visitors

Resolution 12

November 18-20, 2015

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**COLLEGE OF WILLIAM AND MARY  
RECEIPT OF THE CONSOLIDATED FINANCIAL REPORT OF  
THE COLLEGE OF WILLIAM AND MARY IN VIRGINIA AND  
RICHARD BLAND COLLEGE FOR THE FISCAL YEAR ENDED JUNE 30, 2015**

The Consolidated Financial Report of The College of William and Mary in Virginia and Richard Bland College for the fiscal year ended June 30, 2015, has been presented by the Senior Vice President for Finance and Administration and the Chief Financial Officer to the Presidents of the Colleges, who have approved it for presentation to the Rector and the Board of Visitors.

The statements included in this consolidated Financial Report provide a concise analysis of the College's financial affairs for fiscal year 2014-2015. The report is subject to a detailed audit to be conducted by the Auditor of Public Accounts.

**RESOLVED**, That the Unaudited Consolidated Financial Report for the Year Ended June 30, 2015 (*see separate booklet*) for The College of William and Mary in Virginia and Richard Bland College is hereby received by the Board of Visitors.

Board of Visitors

Resolution 13

November 18-20, 2015

Page 1 of 1

**COLLEGE OF WILLIAM AND MARY  
RECEIPT OF THE FINANCIAL REPORT OF  
THE INTERCOLLEGIATE ATHLETIC DEPARTMENT  
FOR THE FISCAL YEAR ENDED JUNE 30, 2015**

The summarized Financial Report of the Intercollegiate Athletic Department for the fiscal year ended June 30, 2015, has been presented by the Senior Vice President for Finance and Administration to the President of the College, who has approved it for presentation to the Rector and the Board of Visitors.

**RESOLVED**, That the Unaudited Financial Report of Intercollegiate Athletics for the Year Ended June 30, 2015 (*see separate booklet*), is hereby received by the Board of Visitors.

## **AMENDMENTS TO THE BYLAWS OF THE BOARD OF VISITORS**

At the April 2015 meeting of the Board of Visitors Rector Todd Stottlemyer appointed John Littel and Robert Scott to work with University Counsel Deb Love and Secretary to the Board Michael Fox to review the Board of Visitors' *Bylaws* and present a re-draft of the *Bylaws* at a future Board meeting.

The last comprehensive review of the Bylaws was undertaken in 1996-1997. Following extensive research on bylaws of other institutions and current requirements of the Code of Virginia, as well as reviewing current Board practices and best governance practices, the proposed revisions were reviewed by the senior administrative leadership of both Richard Bland College and the College of William and Mary, and the members of the Board of Visitors.

Highlights of the proposed revisions include an overall reorganization and stylistic format improvement; the revisions are summarized on pages 2 and 3.

**THEREFORE, BE IT RESOLVED**, That the *Bylaws of the Board of Visitors* are hereby amended, effective immediately, as shown on the following pages 4 through 25.

## **HIGHLIGHTS OF PROPOSED REVISIONS TO THE BOARD OF VISITORS BYLAWS**

### **Guiding Principles:**

- Remove outdated and duplicative Articles of the current Bylaws (last comprehensive review was in 1996-1997); organize more appropriately
- Comply with Code of Virginia requirements
- Review current Board practices and best governance practices

### **Highlights of Proposed Revisions:**

#### **Overall reorganization and stylistic format improvement**

**Eliminated Preamble and moved some language to Article I (page 4)**

**Article II.D. Removal of Board members** – as included in Code of Virginia, specifies how a Board member may be removed (pages 5-6)

**Article III.D. Remote location participation** – added to comply with Code requirement regarding participation from remote location (pages 6-7)

**Article III.G. Resolutions of the Board** – modified time frame for submission of resolutions (page 7)

**Article IV.A.3. Secretary of the Board (elected)** – defined Secretary OF the Board as elected [as distinct from Secretary TO the Board which is a position appointed by the Board] (pages 8 and 15)

**Article V.A.4. Staffing** – added staffing responsibility for each committee (pages 9, 11-13)

**Article V.B.5. Faculty representative members of committees** – added language regarding faculty representative members of committees (page 10)

**Article V.C. Richard Bland College Committee** – added additional information regarding committee responsibilities to conform with Academic Affairs, Administration, Financial Affairs and Advancement committees; added responsibility for annual evaluation of the President by the Committee (page 10-11)

**Article V.D. Committee on Academic Affairs** – eliminated need for Board approval of professional appointments, except for executive positions (page 11)

**Article V.H. Committee on Audit and Compliance** – revised language involving oversight of the Director; added compliance to policy matters; added committee oversight of compliance program (page 12)

**Article V.J. Committee on Strategic Initiatives and New Ventures** – revised to include ‘federal and state relations’ and ‘sustainability’ (page 13)

**Article VI. Executive positions reporting to the Board of Visitors** (presidents of W&M and RBC) – clarified and conformed language describing both presidents (pages 13-14)

**Article VII. Administrative positions reporting to the Board of Visitors** – specifically included and placed Director of Internal Audit and Building Official in this Article (page 15)

**Article VIII. Administrative positions of the Board of Visitors** – specifically included and placed University Counsel and Board-appointed Secretary to the Board in this Article (pages 15-16)

**Article X. Responsibilities of the President and Other Senior Officers of William & Mary** – language shortened and clarified (pages 16-21)

**Article X.B. and D.** – Code specified responsibilities incorporated under the Provost and Deans (pages 17-18 and 20-21)

**Article X.C.** – Chief Diversity Officer and Chief Compliance Officer included as senior officers of the University (page 18 and 20)

**Article X.C.2.** Vice President for Strategic Initiatives – added oversight of sustainability (page 19)

**Article X.D and E.** combined appointments of the various Deans, the Dean of University Libraries and the Director of VIMS; eliminated Dean of International Affairs (pages 20-21)

**Article X.F.** appointed Dean of School of Marine Science as Director of Virginia Institute of Marine Science and clarified relationship with William & Mary (page 21)

**Article XI. Responsibilities of the President and Other Senior Officers of Richard Bland College** – clarified language (pages 21-22)

**Article XII. Policies and Regulations** – moved and condensed current Bylaws section on Policies and Regulations, and added entire language of Code of Ethics for both W&M and RBC under this Article (page 22-25)

**MISCELLANEOUS** – combined current Bylaws sections: Construction, Inconsistencies, Necessary Votes, Suspension of Bylaws and Parliamentary Authority under this section (page 25)

**Adoption and Amendment of Bylaws** for Faculties and other organizations – added last sentence to first paragraph charging presidents to recommend to the Board changes of significance to those bylaws (page 25)

## BYLAWS OF THE BOARD OF VISITORS

### ARTICLE I

#### I. **Board Authority**

- A. The Board of Visitors (Board) of The College of William and Mary in Virginia (the University or William & Mary) is the corporate body established by the Royal Charter and the Code of Virginia to govern William & Mary (including the Virginia Institute of Marine Science). The Board is also established by the Code of Virginia to govern Richard Bland College (the College or RBC).
- B. The Board has the powers and duties conferred upon it by the Royal Charter, the Code of Virginia, and the Management Agreement with the Commonwealth of Virginia.
- C. The Board has adopted these Bylaws to set forth the workings of the Board, the University and the College, and to fulfill its obligations under the law. The Board adopted codes of ethics for the University and the College that apply to all members of the institutional community – board members, employees, students, and volunteers (see Section XII. A. and B.). The Board strives to preserve the ideals and traditions of the institutions under its jurisdiction, including the student-administered Honor System that originated in the earliest years of the University.

### ARTICLE II

#### II. **Membership**

- A. **Board of Visitors Members:** The Board consists of seventeen members appointed by the Governor of Virginia and confirmed by the General Assembly of Virginia.
- B. **Advisory representatives:** The Board is assisted by various non-voting advisory representatives who may attend committee meetings and the full meetings of the Board and any closed sessions of Board committees or the full Board as determined by the Rector. In the event an advisory representative is unable to complete the term, the Rector will, in consultation with the President of William & Mary or the President of RBC, as appropriate, appoint a replacement

representative to complete the term, with no effect on eligibility to serve a full term. The representatives will be appointed by the Rector annually, as follows:

1. **Student Representative of William & Mary:** The President of the Student Assembly for a one-year term.
2. **Student Representative of Richard Bland:** A student nominated by the President of RBC for a one-year term.
3. **Faculty Representative of William & Mary:** A faculty member selected, in consultation with the chair of the Committee on Academic Affairs and recommended by the President and Provost, from among the former presidents of the William & Mary Faculty Assembly, for no more than two consecutive one-year terms.
4. **Faculty Representative of Richard Bland College:** A faculty member nominated by the President of RBC for no more than two consecutive one-year terms.
5. **Staff Liaison of William & Mary:** The President of the professional or operational/classified staff Assembly for a one-year term. Such appointments alternate each year between the professional and operational/classified staffs.

#### C. Terms of Board members

1. Members of the Board of Visitors have such terms as provided by law.
2. The terms of student and faculty advisory representatives begin on the day following Commencement at each institution and continue through Commencement the following year.
3. The term of the staff liaison begins on July 1 and continues until June 30 of the following year.

#### D. Removal of Board members

1. If any member of the Board fails to perform the duties of the office for one year without written justification to the Rector, the Rector may, after notifying that member, report such failure to the Governor and may request that the Governor exercise the authority under § 2.2-108 of the Code of Virginia to remove the member from the Board. Such action must be recorded in the minutes of the next meeting.

The Governor may remove from office for malfeasance, misfeasance, incompetence, or gross neglect of duty any member of the Board of Visitors, and fill the resulting vacancy, subject to confirmation by the General Assembly.

2. If any member of the Board fails to attend (i) the meetings of the Board for one year without sufficient cause, as determined by a majority vote of the Board, or (ii) the educational programs required by § 23-9.14:1 of the Code of Virginia during the first two years of membership without sufficient cause, as determined by a majority vote of the Board, the remaining members will record such failure in the minutes of the next meeting, and the Rector will notify the Governor. Pursuant to § 23-2.06 of the Code of Virginia, the member's office is vacated upon such notification.

### ARTICLE III

#### III. Meetings

- A. **Regular meetings:** The Board meets regularly up to four times each year on dates selected by the Rector. The last meeting of the academic year is the annual meeting.
- B. **Special meetings:** Special meetings, including emergency meetings and annual retreats, may be called by the Rector, or in the Rector's absence or inability, by the Vice Rector, or at the request of five members of the Board.
- C. **Electronic meetings:** Members may participate in meetings of the Board electronically under the requirements of the law.
- D. **Remote location participation:** The Rector may authorize members to participate in meetings of the Board from a remote location, provided:
  1. The member discloses to the Rector on or before the date of the meeting that the member is unable to attend due to a specified emergency or personal matter, as well as the remote location from which the member will participate;
  2. The member discloses to the Rector on or before the date of the meeting that the member is unable to attend due to a temporary or permanent disability or other medical condition that prevents the member's physical attendance, as well as the remote location from which the member will participate;

Assuming all other legal requirements for the member's participation would be met, the Board will determine by majority vote whether the member has offered an adequate justification for remote participation. Any disapproval of a member's remote participation will be described in the minutes.

If a member's participation is not approved, the member may continue to monitor the meeting from the remote location, but may not participate in the proceeding and may not be counted as present at the meeting.

- E. **Notice of meetings:** Notice of meetings is provided in accordance with relevant provisions of the Virginia Freedom of Information Act, Chapter 37 of *Title 2.2*. The appointee or representative of the Virginia Attorney General is notified and may attend meetings of the Board and all Board committees.
- F. **Quorum:** A simple majority of the voting members of the Board (or of a committee, in the case of a committee meeting) serving at any time constitutes a quorum. The Rector is a member of each Board committee for purposes of a quorum. The Rector may appoint members to a committee on an ad-hoc basis in the event a quorum is needed for a specific meeting.
- G. **Resolutions of the Board:** All proposed resolutions of the Board are presented to the Board-appointed Secretary to the Board prior to the meeting at which they are to be considered, with mailing to the members and non-voting advisory representatives at least six calendar days prior to the meeting, except that the introduction of a motion and/or resolution for Board action may be offered at any time at the request of the Rector or the President, or on those occasions when a two-thirds majority of the members present at the meeting vote in the affirmative to suspend this rule. At the same time such resolutions and all materials are furnished to members of the Board, they are made available for review by members of the public.
- H. **Public and closed meetings:** The discussions of the Board and any actions taken by it are conducted in open meeting, unless a closed or executive session is authorized by law. Any official action taken in a closed meeting must be approved in open meeting before it has effect. Attendance at meetings of the Board during closed or executive sessions is determined by the Rector in consultation with the President. Attendance at committee meetings during closed or executive sessions is determined by the committee chair in consultation with the Rector.

1. **Minutes:** The Board-appointed Secretary to the Board maintains minutes of all open meetings of the Board. The Secretary ensures that minutes are posted on the Board's website and made available as required by law.
2. **Annual Executive Summary:** The Board submits to the General Assembly and the Governor an annual executive summary of its work no later than the first day of each regular session of the General Assembly, in accordance with procedures of the Division of Legislative Automated Systems for the processing of legislative documents and reports for publication on the General Assembly's website.

## ARTICLE IV

### IV. Officers of the Board

- A. The officers of the Board are:

1. **Rector of the College:** The Rector presides over all meetings of the Board and determines the order of its business. The Rector serves as the spokesperson for the Board and its designated representative. The Rector performs other duties as prescribed by law or these Bylaws, or as expressly authorized by the Board, including the appointment of members to all committees of the Board, special committees, and ad hoc committees.
2. **Vice Rector of the College:** The Vice Rector performs the duties of the Rector when the Rector is absent or unable to discharge the duties of the office.
3. **Secretary of the Board (elected):** The Secretary performs the duties of the Rector when neither the Rector nor the Vice Rector is present or able to discharge such duties.

- B. **Election of officers:** Prior to the annual meeting in every odd year, the Rector appoints a committee of at least three members of the Board to nominate candidates for the offices of Rector, Vice Rector, and Secretary. Nominations will also be accepted from the floor. The Board elects officers from any members nominated at the annual meeting.
- C. **Term of office:** Each officer serves a two-year term beginning July 1 following the annual meeting. Officers are eligible for re-election for one additional term.
- D. **Vacancy of office:** Should an office be vacated prior to the conclusion of an elected term, the Rector, or officer pursuant to IV.A.2. and 3., appoints a

committee of at least three members of the Board to nominate a candidate to stand for election at the next meeting of the Board to complete the unexpired portion of such term.

## ARTICLE V

### V. Organization of the Board

#### A. Executive committee:

1. **Membership:** The Executive Committee consists of: (1) the Rector, who serves as chair; (2) the Vice Rector; (3) the Secretary of the Board; (4) the chair of the Committee on Financial Affairs; and (5) three members of the Board at large appointed by the Rector.
2. **Delegation of the authority of the Board:** Except as provided otherwise by law or these Bylaws, the Executive Committee exercises the powers and transacts the business of the Board of Visitors between meetings of the full Board as needed. All members of the Board will be informed promptly of any action taken.
3. **Responsibilities:** The Executive Committee organizes the working processes of the Board and recommends best practices for Board governance, consistent with relevant provisions of *Title 23, Chapter 1, § 23-2.04.*, of the Code of Virginia.
4. **Staffing:** The Board-appointed Secretary to the Board staffs the Committee.

#### B. Standing committees

1. **Designation:** The Board has the following standing committees with members appointed by the Rector:
  - a) Committee on Academic Affairs
  - b) Committee on Administration, Buildings and Grounds
  - c) Committee on Athletics
  - d) Committee on Audit and Compliance
  - e) Committee on Financial Affairs
  - f) Richard Bland College Committee

The Board has the following committees of the whole:

- a) Committee on Strategic Initiatives and New Ventures
- b) Committee on Student Affairs
- c) Committee on University Advancement

**2. Membership:**

- a) The Rector appoints one or more members of the Board to chair each committee, and may appoint one or more Board members to serve as vice chair(s) of each committee.
- b) The Rector appoints at least three members of the Board to each standing committee, and may designate committees of the whole.
- c) The Rector may replace chairs as necessary and remove members from committees or fill committee vacancies as necessary.

3. **Subcommittees:** Upon approval of the Rector, committees may appoint subcommittees of not less than three voting Board members from within their memberships to consider such specific matters as will facilitate the business of the committee. All subcommittee action is subject to ratification by the committee.

4. **Meetings of committees:** The chair, or vice chair acting when the chair is absent or unable to perform the duties of the chair, or a majority of the membership of the committee or subcommittee, may call meetings after consultation and approval by the Rector. Notice of meetings of committees and subcommittees is published as required by law.

5. **Faculty representative members of committees:** Annually, the Rector in consultation with the President, Provost, and chair of the Academic Affairs Committee appoints a faculty member from those nominated by the William & Mary Faculty Assembly Executive Committee, to the positions of non-voting faculty representative to each of the Committees on Administration, Buildings and Grounds, Athletics, and Financial Affairs. No faculty member may serve on more than one committee.

C. **Richard Bland College Committee:** The Richard Bland College Committee considers and makes recommendations on matters affecting educational policies, instructional faculty affairs and appointments, including academic tenure,

executive appointments, and the academic organization of the College, and advises the President of the College on matters of personnel policy in regard to members of the instructional faculty and other employees. The Committee serves as the Board contact with faculty and student liaisons. The Committee considers and makes recommendations concerning the financial affairs of the College, which includes the submission and approval of any and all budgets and the administration of the financial policies and procedures established by the Board. The Committee considers and makes recommendations on all matters relating to the buildings and grounds of Richard Bland College, including the naming of buildings; the administrative operations of the College, including human resources policy in regard to classified employees and other non-instructional faculty members; information technology; procurement; and any other matters referred to it by the Rector or the President. The Committee consults with the President concerning the ways and means of promoting Richard Bland's advancement and fostering the relationship between the College and its communities and friends. The Committee considers and makes recommendations on policies fostering fundraising, lifelong relationships and connections between Richard Bland and its alumni. The Committee performs an annual evaluation of the President of Richard Bland College during the Board's annual meeting for recommendation to the full Board. The nonvoting, advisory student and faculty representatives from the College serve as ex officio members of the Committee. The President of the College staffs the Committee.

- D. **Committee on Academic Affairs:** The Committee on Academic Affairs considers and makes recommendations on matters affecting educational policies, instructional faculty affairs and appointments, including academic tenure, executive appointments, and the academic organization of William & Mary, and advises the President of the University on matters of personnel policy in regard to members of the instructional faculty and other employees. The Committee meets on a regular basis with representatives of the faculties. The William & Mary faculty representative to the Board may serve as a non-voting advisory member of the Committee. The Provost staffs the Committee.
- E. **Committee on Administration, Buildings and Grounds:** The Committee on Administration, Buildings and Grounds considers and makes recommendations on all matters relating to the buildings and grounds of William & Mary, including the naming of buildings; the administrative operations of the University, including human resources policy in regard to classified employees, university employees

and other non-instructional faculty members; information technology; procurement; and any other matters referred to it by the Rector or the President particularly regarding authority granted under The Restructured Higher Education Financial and Administrative Operations Act. The Rector may appoint a faculty member, as detailed in Section V.B.5., to the position of non-voting faculty committee representative. The Senior Vice President for Finance and Administration staffs the Committee.

- F. **Committee on University Advancement:** The Committee on University Advancement consults with the President concerning the ways and means of promoting William & Mary's advancement and fostering the relationship between the University and its communities and friends. The Committee considers and makes recommendations on policies fostering fundraising, lifelong relationships and connections between William & Mary and its alumni, as well as its career assistance for graduates. The Committee may meet during Board meetings with a representative of the Alumni Association Board of Directors and a representative of the College of William & Mary Foundation. The Vice President for University Advancement staffs the Committee.
- G. **Committee on Athletics:** The Committee on Athletics considers and makes recommendations on matters affecting the University's intercollegiate athletic policies, plans, and personnel. The Rector may appoint a faculty member, as detailed in Section V.B.5., to the position of non-voting faculty committee representative. The Director of Athletics staffs the Committee.
- H. **Committee on Audit and Compliance:** The Committee on Audit and Compliance oversees the Director of Internal Audit, who is charged with auditing William & Mary and Richard Bland. The Committee reviews and approves the annual Audit Plan recommended by the Director of Internal Audit. The Committee considers and makes recommendations on policy matters pertaining to compliance, campus safety and security, and risk management. The Committee provides oversight of the compliance program. The Presidents of the University and of the College may advise and consult with the Committee on any matter pertaining to internal auditing. The Committee performs an annual evaluation of the Director of Internal Audit during the Board's annual meeting for recommendation to the full Board. The Director of Internal Audit, the Chief Compliance Officer, the Senior Vice President for Finance and Administration, and the RBC President or designee staff the Committee.

- I. **Committee on Financial Affairs:** The Committee on Financial Affairs considers and makes recommendations concerning the financial affairs of William & Mary and the Virginia Institute of Marine Science, which includes the submission and approval of any and all budgets and the administration of the financial policies and procedures established by the Board. The Committee has power and authority, subject to the guidelines set by the Board, to invest and reinvest all funds held by the Board as an endowment or in trust for the uses and purposes of William & Mary, the Virginia Institute of Marine Science, and Richard Bland, with the assistance of the Presidents; and the Committee directs and controls the handling of investments by an investment counsel or depository agent at any time employed by the Board. The Rector may appoint a full-time faculty member, as detailed in Section V.B.5., to the position of non-voting faculty committee representative. The Senior Vice President for Finance and Administration staffs the Committee.
- J. **Committee on Strategic Initiatives and New Ventures:** The Committee on Strategic Initiatives and New Ventures considers and makes recommendations on matters concerning strategic planning, new ventures, federal and state relations, the ways and means of promoting economic development and sustainability, public service and outreach, and fostering the relationship between the University, its constituencies and all responsible governing bodies. The Vice President for Strategic Initiatives staffs the Committee.
- K. **Committee on Student Affairs:** The Committee on Student Affairs considers and makes recommendations on policies concerning student life, discipline and the organization and administration of student affairs at the University. The Committee meets on a regular basis with representatives of the students of the University appointed by the President of the Student Assembly. The Vice President for Student Affairs staffs the Committee.
- L. **Special or ad hoc committees:** The Rector may appoint special or ad hoc committees of the Board as needed for the benefit of the Board and/or the University or the College.

## ARTICLE VI

### VI. Executive positions reporting to the Board of Visitors

- A. **President of William & Mary:** The Board elects the President of the University, who serves at its pleasure, and pursuant to a contract with the Board. Any change

to the President's employment contract is made only by a vote of a majority of the Board. The duties and responsibilities of the President are prescribed by law, these Bylaws, and such employment contract.

1. The President may attend all meetings of the Board of Visitors or its committees, except as otherwise directed by the Board or committee. The President brings to the attention of the Rector and the Board such matters as require the attention or action of the Board, and may participate in the discussions of the Board or its committees.
2. In case of the incapacitation, death or resignation of the President, the Board of Visitors designates as promptly as possible an Interim President to serve until a President is elected by the Board and assumes office.
3. At least annually, on a date set by the Rector of the College, the Board conducts an evaluation of the performance of the President for the preceding year. Such evaluation may be held in a closed meeting pursuant to § 2.2-3711.A.1 of the Code of Virginia.

B. **President of Richard Bland College:** The Board elects the President of Richard Bland College, who serves at its pleasure, or pursuant to a contract with the Board. Any change to the President's employment contract is made only by a vote of a majority of the Board. The duties and responsibilities of the President are prescribed by law, these Bylaws, and such employment contract.

1. The President may attend all meetings of the Board of Visitors or its committees, except as otherwise directed by the Board or committee. The President brings to the attention of the Rector and the Chair of the Richard Bland College Committee such matters as require the attention or action of the Board, and may participate in the discussions of the Board or its committees.
2. In case of the incapacitation, death or resignation of the President, the Board of Visitors designates as promptly as possible an Interim President to serve until a President is elected by the Board and assumes office.
3. At least annually, on a date set by the Rector of the College, the Board conducts an evaluation of the performance of the President for the preceding year. Such evaluation may be held in a closed meeting pursuant to § 2.2-3711.A.1 of the Code of Virginia.

## ARTICLE VII

### VII. Administrative positions reporting to the Board of Visitors

- A. **Director of Internal Audit:** On recommendation of the President of the University, the Board appoints a Director of Internal Audit. The Director is responsible for the formation of an annual Audit Plan and for the administration and operation in the Office of Internal Audit. The Director consults with the President of William & Mary and the President of Richard Bland in the administration and operation of the Office of Internal Audit. The Director reports to the Committee on Audit and Compliance, and is evaluated annually by the Committee during the Board's annual meeting for review with full Board.
- B. **Building Official:** On recommendation of the President of the University, the Board appoints a Building Official certified by the Virginia Department of Housing and Community Development. The Building Official is authorized to determine the suitability for occupancy of, and to issue certifications for building occupancy for, all capital projects undertaken at William & Mary. Prior to issuing any such certification, the Building Official ensures that the Virginia Uniform Statewide Building Code requirements are met for that capital project and that such project has been inspected by the Fire Marshal or authorized designee. The Building Official reports directly and exclusively to the Board of Visitors through the Committee on Administration, Buildings and Grounds, and is evaluated annually by the Committee during the Board's annual meeting for review with the full Board.

## ARTICLE VIII

### VIII. Administrative positions of the Board of Visitors

- A. **University Counsel:** The Attorney General of Virginia, in consultation with the President of the University, appoints an Assistant Attorney General and Special Counsel from the Office of the Attorney General as counsel to the Board, the University and the College to provide necessary legal services on both routine matters and special projects.
- B. **Secretary to the Board:** The Board-appointed Secretary to the Board provides assistance to the Rector and members of the Board of Visitors, maintains minutes of all meetings of the Board and makes them available to any member of the Board, the Presidents of the University and College, and such others as required by law, with the authority to provide certification to the minutes of the meetings of the Board when necessary. On recommendation of the President of the

University, the appointment of the Secretary to the Board is approved by resolution of the Board of Visitors.

## **ARTICLE IX**

### **IX. Chancellor**

The Board of Visitors may elect a Chancellor for the University. The Chancellor's position is honorary, without responsibility, authority or compensation except for those duties and responsibilities specifically assigned to that position by the Board of Visitors. The Chancellor serves for seven years.

## **ARTICLE X**

### **X. Responsibilities of the President and Other Senior Officers of William & Mary**

A. The President is the chief executive officer of the University, oversees its overall operation under the direction of the Board and in accordance with its policies, and is accountable to the Board for its performance. The President may adopt such rules and regulations as appropriate to the proper administration of the University, provided they are not inconsistent with the policies of the Board of Visitors or the requirements of law. The President is assisted in the performance of duties by a chief academic officer, a chief financial officer, and such other senior officers as the President deems necessary or appropriate. The President recommends the appointment of such officers, subject to the approval of the Board of Visitors.

Among other duties as the University's chief executive officer, the President:

1. Approves the salaries, appointments, promotions, and dismissals of members of the staff and faculties of the University.
2. Oversees the admission of students, seeing to their well-being and administering a student disciplinary and Honor Code.
3. Oversees the financial, budgetary, transactional and strategic activities of the University, as well as the use and maintenance of its physical facilities.
4. The President, in consultation with the Rector, recommends to the Board candidates for honorary degrees.
5. Confers all properly authorized degrees, with the exception of honorary degrees, which are conferred by the Rector or the Chancellor or their designee.

6. Has the authority to transact business in the name of the University.
7. Has the authority to further delegate such authority as has been conferred to the President, subject to guidelines for its exercise, and the President remains responsible for the delegated function.

B. On recommendation of the President, the Board of Visitors appoints the Provost, who serves as the chief academic officer and senior administrative officer of the University, and has general purview over all its educational programs, activities, personnel and policies. The Provost administers the affairs of the University during the temporary absence or disability of the President, except as otherwise directed by the Board.

The Provost is responsible jointly with the Senior Vice President for Finance and Administration for budgetary planning, and for submitting recommendations to the President regarding allocation of the University's resources and expenditure of its funds.

The Provost is responsible for working directly with the Deans, and the Faculty Assembly when appropriate, on academic planning, and on curricular, budgetary, personnel, and educational policy matters, for recommendation as appropriate to the President. In accordance with the provisions of the Faculty Handbook and the Code of Virginia and upon recommendation of the appropriate dean or administrative officer, the Provost submits to the President recommendations regarding salaries, appointments, promotions and dismissals of members of the staff and faculties of the University, and the establishment of new positions.

The Provost serves as the accreditation officer of William & Mary.

The Provost recommends to the President the calendar of the University, the curriculum of the faculties of the University, and the inauguration of new programs, the latter being subject to approval by the Board of Visitors. Such recommendations are formulated with due regard to the roles of the respective faculties, the Faculty Assembly, the educational mission of the University in the Virginia system of higher education, and budgetary and administrative feasibility.

Concurrently with the President, the Provost has the authority to transact business in the name of the University, with the exception of indebtedness and those

particular assignments made to the Senior Vice President for Finance and Administration. The Provost has the authority to further delegate such authority; such delegation must be consistent with applicable law and regulations, and subject to guidelines for its exercise.

- C. The Provost and other senior officers of the University report to the President. Such senior officers may include the Senior Vice President for Administration and Finance; the Vice Presidents for Strategic Initiatives, Student Affairs, University Advancement, the Athletic Director, the Chief Diversity Officer, the Chief Compliance Officer, and such other senior officers as the President deems necessary or appropriate.
  1. The Senior Vice President for Finance and Administration administers the business affairs of the University. Under the direction of the President, the Senior Vice President is responsible jointly with the Provost for budget planning, and for recommendations to the President regarding University resource allocation and expenditure budgets.

It is the Senior Vice President's responsibility to assure that private funds under the custody of the Board are properly invested with the approval of the President and the Committee on Financial Affairs.

The Senior Vice President has custody of the University's key documents.

The Senior Vice President is responsible for the effective operation of the physical plant, the auxiliary enterprises, the general purchasing and supply system, human resources, campus security, and the buildings and grounds of the University.

Concurrently with the President, the Senior Vice President for Finance and Administration has the authority to transact business in the name of the University, including: (1) the transfer, conversion, endorsement, sale, purchase, assignment, conveyance and delivery of any and all shares of stocks, bonds, debentures, notes, and subscriptions warrants, cash or equivalent assets, and evidence of indebtedness; (2) any and all contracts for the purchase of real estate and other property, or other securities or assets now or hereafter owned by the Board, or bearing any similar

designation indicating ownership by the University; (3) agreements setting forth the terms for the acceptance of gifts to the University; (4) any and all contracts for the purchase or rental of professional services, supplies and equipment, including software and hardware; the design and construction of facilities; non-disclosure and confidentiality agreements; real estate and property leases or rental agreements; capital leases; acquisition or conveyance of any other type of property interest, including easements; equipment leases or fixed asset rental agreements; use of University facilities; and (5) any other agreements necessary to carry out and support the operations of the University, with the exception of those particular assignments made to the Provost. The sale of real property requires the approval of the Board and the Commonwealth of Virginia. The Senior Vice President for Finance and Administration has the authority to further delegate such authority; such delegation must be consistent with applicable law and regulations, and subject to guidelines for the exercise thereof.

2. The Vice President for Strategic Initiatives develops and manages programs for economic development, for public service and outreach, for community, government, general public relations, and university communications. The Vice President assists the President and Provost with strategic planning; identifies and evaluates alternatives for financial sustainability and continued preeminence in American higher education; leads and coordinates William & Mary's support of state, regional and local economic development organizations; and provides leadership and oversight of the offices of Creative Services, Economic Development, Government Relations, Sustainability, and University Relations.
3. The Vice President for University Advancement plans, implements, coordinates, and evaluates all programs and events by which the University's voluntary private financial support both for current operations and capital purposes, including endowment will be sustained and increased. In addition, the Vice President coordinates operations associated with marketing, alumni engagement activities, and the relationship with the William & Mary Alumni Association. In accordance with policies and procedures established by the Board, the Vice President organizes and manages a comprehensive advancement program to ensure

lifelong engagement with all alumni and constituents, and seeks and/or coordinates gifts from alumni, parents, individuals, corporations, foundations and other organizations.

4. The Vice President for Student Affairs administers and coordinates the student life policies of the University and programs and activities bearing on student affairs, student development, student health services, counseling, and social, recreational and residential programs and functions. The Vice President works cooperatively with the Senior Vice President to ensure the quality of all physical facilities used to support student life programs, including the student residences, the Sadler and Campus Centers, the Student Health Center, the Counseling Center and intramural and recreational sports facilities. The Vice President is responsible for the administration of the scheduling policies of the University, with the exception of the scheduling of academic facilities for instructional and research programs.
5. The Director of Athletics, under the direction of the President, has general purview of and administrative responsibility for the intercollegiate athletic policies, plans and personnel of the University.
6. The Chief Diversity Officer has primary responsibility for oversight of institutional diversity efforts.
7. The Chief Compliance Officer has overall responsibility for the university's compliance and ethics program. This program, founded upon William & Mary's Code of Ethics, coordinates the many things the university does to prevent, detect, and remediate misconduct – illegal or unethical conduct.

D. On recommendation of the President, the Board of Visitors appoints the Dean of the Faculty of Arts and Sciences and the Deans of the Schools of Business Administration, Education, Law, and Marine Science. The Deans have general responsibility for the Faculties under their jurisdiction and for the direction of the work of the Faculty or School. The Deans report to the Provost.

The Dean of the Faculty of Arts and Sciences and the Dean of the appropriate School, except as otherwise provided, advises the Provost in the formation of the Faculty and the determination of curriculum.

Subject to the legal obligations of the University, and except as these Bylaws otherwise provide, actual instruction, including such matters as curriculum and degree requirements, is discharged by the respective faculties of the University and the College.

- E. On recommendation of the President, the Board of Visitors appoints the Dean of University Libraries. The Dean of University Libraries, under the direction of the Provost, has general purview over and administrative responsibility for the Earl Gregg Swem Library and those professional and departmental libraries of the university responsible to Swem Library, not including the Wolf Law Library.
- F. On recommendation of the President, the Board of Visitors appoints the Dean of the School of Marine Science as the Director of the Virginia Institute of Marine Science. The Dean/Director, under the direction of the President, has general purview of and administrative responsibility for the affairs of the Institute. Recognizing the integration of activities and on-going support provided to the Institute by William & Mary, the Dean/Director works in close collaboration with the Provost and Senior Vice President for Finance and Administration on financial and budgetary matters.

## ARTICLE XI

### XI. Responsibilities of the President and Other Senior Officers of Richard Bland College

- A. The President is the chief executive officer of the College, oversees its overall operation under the direction of the Richard Bland College Committee and the Board and in accordance with its policies, and is accountable to the Richard Bland College Committee and the Board for its performance. The President may adopt such rules and regulations as may be deemed appropriate to the proper administration of the College, provided they are not inconsistent with the policies of the Board of Visitors or the requirements of law.

Among the duties as the College's chief executive officer, the President:

1. Upon the recommendation of appropriate academic officers, appoints members of the faculty.
2. Oversees the admission of students, seeing to their well-being and administering a student disciplinary and Honor Code.
3. Oversees the financial, budgetary, transactional and strategic activities of the University, as well as the use and maintenance of its physical facilities.
4. Confers all properly authorized degrees.
5. Has the authority to transact business in the name of Richard Bland College.
6. Has the authority to further delegate such authority as has been conferred to the President. Such delegation must remain subject to guidelines for the exercise thereof, and the President remains responsible for the delegated function.

B. The President, while remaining responsible for the overall administration of the College, is assisted in the performance of duties by a chief academic officer, a chief financial officer, or such other senior officers as the President deems necessary or appropriate. The President recommends the appointment of such officers, subject to the approval of the Board of Visitors.

## **ARTICLE XII**

### **XII. Policies and Regulations**

Policies for the governance of William & Mary and Richard Bland as made from time to time by the Board of Visitors are binding on the appropriate communities and published within the University and College by appropriate means.

No rule or regulation adopted by the Presidents of the University or RBC is deemed contrary to the policies of the Board of Visitors unless so determined by the Board itself after the promulgation of such rule or regulation.

#### **A. Code of Ethics of William & Mary**

The Board adopted this Code of Ethics for William & Mary, including the Virginia Institute of Marine Science, on April 17, 2009:

Integrity is one of the core values of the College of William & Mary. Thus, we are committed to lawful and ethical behavior in all of the University's activities. At William & Mary, we insist that all members of the University community – our board members, employees, students, and volunteers – comply with all laws, regulations, policies and ethical norms applicable to them. More generally, we are to be honest, fair, and trustworthy ourselves and to take care that other members of the University community are also.

We, as members of the William & Mary community, will:

1. Obey the laws, regulations, and policies applicable to our university activities.
2. Protect and preserve university resources and ensure their proper use.
3. Avoid both conflicts of interest and the appearance of such conflicts.
4. Safeguard confidential information.
5. Make procurement decisions impartially and objectively.
6. Maintain effective internal controls to safeguard the regularity and integrity of our activities.
7. Treat other people with dignity and respect, ensuring there is no discrimination or harassment at William & Mary.
8. Report any illegal or unethical action that comes to our attention, so the University can investigate and take corrective steps.

#### **B. Code of Ethics of Richard Bland College**

The Board adopted this Code of Ethics for Richard Bland College on April 17, 2009:

Richard Bland College is committed to an environment of uncompromising integrity and ethical conduct. As such, the College's ethical standards are the foundation for both strategic and day-to-day action and activity. The College's faculty and staff are responsible for establishing and maintaining ethical standards, recognizing that their decisions and actions reflect not only on their individual reputations but also on the reputation of the college. Consistent with this responsibility for maintaining the highest ethical standards as well as personal and institutional integrity, the following Code of Ethics provides the framework for conducting College business.

1. We are committed to conducting College business in compliance with all applicable state and federal laws and regulations as well as College policies.
2. We will promote the integrity of all College business and transactions by avoiding direct or indirect actions that are inconsistent with the State and Local Government Conflict of Interests Act or the Rules for Procurement of Goods, Services, Insurance, and Construction.
3. We make business decisions in the best interest of the College and avoid any conflicts of interest or commitment. As a result, we do not accept gifts, gratuities or favors of monetary value, or engage in private business or professional activities that may appear to affect professional judgment. College employees are in a position of public trust and, therefore, cannot accept gifts, gratuities or favors from bidders, vendors, contractors, or customers for any services they perform in connection with their positions or which are intended to create favorable business treatment.
4. We do not tolerate fraud, theft, waste or abuse of state, College, or College-related funds, property, or other resources and will immediately report suspected irregularities to our supervisor, the Richard Bland College Police Department, or the Office of Internal Audit. Employees also may report suspected irregularities through the Commonwealth of Virginia's Fraud, Waste, and Abuse Hotline.
5. We will not use College funds, property, equipment, services, systems, information, or our position for personal gain. We will protect the College's assets and resources, including intellectual properties, and ensure their proper use.
6. We will not use College funds, property, equipment, services, systems, or information to aid political parties or candidates for public office.
7. We will maintain the confidentiality and security of information entrusted to us by the College and its customers, except when disclosure is authorized or legally mandated. College records are its property and may only be used for job-related purposes. We will comply with the College's Acceptable use Policy for information technology.

8. We will adhere to the principle that the public's business should be conducted in the public view by observing and following both the letter and the spirit of the Virginia Freedom of Information Act.
9. The College is a workplace where all employees, students, and visitors are treated with dignity and respect. Therefore, we do not tolerate harassment or discrimination of any kind against another person. This includes—but is not limited to—discrimination on the basis of race, sex, handicap, age, veteran status, national origin, religion, sexual orientation or political affiliation. College administrators, managers and supervisors are responsible for creating a work environment free of discrimination or harassment. Administrators or supervisors have a legal obligation to act whenever they learn, directly or indirectly, about discrimination or harassment.
10. The College is committed to ensuring the safety and security of employees, students, and visitors. Employees are responsible for compliance with environmental, health and safety laws and regulations and should make every effort to maintain a safe and healthy work environment.

#### **MISCELLANEOUS**

**Adoption and Amendment of Bylaws.** All Bylaws of the Board previously adopted are hereby superseded. All bylaws of the Faculties and other organizations of the University or the College must be consistent with the Bylaws of the Board. The Board charges the President of William & Mary or the President of RBC, as appropriate, with the responsibility to recommend to the Board amendments to the bylaws of the Faculties and other organizations that are determined to be changes of significance.

The Bylaws of the Board may be amended or superseded at any regular meeting of the Board with thirty days prior written notice, or at a special meeting called for the purpose, provided that every such amendment or repeal must receive not less than nine affirmative votes.

**Suspension of Bylaws.** These Bylaws or any one of them may be temporarily suspended at any meeting of the Board by a three-fourths affirmative vote of all members present provided that no rule may be suspended until at least nine vote affirmatively therefore.

**Parliamentary Authority.** Meetings are conducted and minutes taken in accordance with the current edition of Robert's "Rules of Order Newly Revised."

## CLOSED MEETINGS

The Board of Visitors may consider in closed session certain matters, including those listed below. The Code is very specific as to how these matters will be described in public session and in closing the meeting the motion must be specific as to the matters to be considered in closed session. There may be no discussion in closed session of matters not identified in the original motion.

I move that the \_\_\_\_\_ Committee convene in Closed Session for the purpose of discussing \_\_\_\_\_, as provided for in Section 2.2-3711.A., \_\_\_\_.

<u>Code Section</u>	<u>Topic</u>
2.2-3711.A.1.	Personnel matters involving identifiable college employees (i.e., appointments, performance evaluations, leaves, etc.) or discussion of candidates for employment.
2.2-3711.A.2.	Matters concerning any identifiable student
2.2-3711.A.3.	Acquisition of real property for a public purpose or disposition of publicly held real property
2.2-3711.A.4.	Protection of individual privacy in personal matters not related to public business
2.2-3711.A.6.	Investment of public funds where bargaining or competition is involved
2.2-3711.A.7.	Consultation with legal counsel and briefings by staff members pertaining to actual or probable litigation or consultation with legal counsel regarding specific legal matters requiring legal advice
2.2-3711.A.8.	Gifts, bequests and fund-raising activities, or grants and contracts for services or work to be performed by the College
2.2-3711.A.10.	Honorary degrees
2.2-3711.A.19.	Reports or plans related to security of any College facility, building or structure, or safety of persons using such facility, building or structure
2.2-3711.A.29.	Public contracts involving the expenditure of public funds

§2.2-3712.D. - At the conclusion of any closed meeting, the Board of Visitors shall immediately reconvene in open meeting and shall take a roll call or other recorded vote to be included in the minutes, certifying that to the best of each member's knowledge (i) only public business matters lawfully exempted from open meeting requirements under this chapter and (ii) only such public business matters as were identified in the motion by which the closed meeting was convened were heard, discussed or considered in the meeting by the public body. Any member of the public body who believes that there was a departure from the requirements of subdivisions (i) and (ii), shall so state prior to the vote, indicating the substance of the departure that, in his judgment, has taken place. The statement shall be recorded in the minutes.

## **BOARD OF VISITORS MEETING DATES**

### **2015**

November 18-20

### **2016**

February 3-5 (Charter Day February 5)

April 20-22 (Commencement weekend May 13-14)

**OCTOBER 2015**