

***ARTS AND SCIENCES***  
***FACULTY MANUAL***

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# ARTS AND SCIENCES FACULTY MANUAL

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## **I. Introduction**

The Faculty Manual contains policies and procedures directly applicable to all members of the Arts and Sciences faculty. These policies and procedures, approved by the Arts and Sciences faculty, both inform and direct the professional activities and responsibilities of Arts and Sciences faculty on matters of significant academic concern. The policies and procedures contained herein do not supplant the provisions of the Faculty Handbook, approved by the Board of Visitors, which are applicable to all faculties at the College. Arts and Sciences faculty members must adhere to the policies and procedures contained in the Faculty Handbook, the Arts and Sciences Faculty Manual, and departmental and program policies and procedures, which are not contained in this Faculty Manual.

## **II. Academic Policies and Procedures**

### **A. Conduct of Undergraduate Classes**

#### **1. Class Rolls**

Class rolls are distributed by the Office of the Registrar at the beginning of each semester. Shortly after the add/drop period is over, class rolls reflecting all drop and add transactions are distributed. Faculty members are to indicate to the Registrar any discrepancies between the rolls and class attendance.

##### **a. Add/Drop Policies**

A period of course adjustments during which dropped courses will not appear on the student's record occurs during the first six days of classes. The deadline for dropping precedes the deadline for adding by two days so that students may enroll for desired courses. Students may drop and/or add courses using the on-line Registration System according to procedures and deadlines published in the Registration Bulletin and Schedule of Classes. Signatures from faculty are not required to add courses during the add period (excluding courses that carry restrictions and courses that are closed to further enrollment) or to drop courses. A student may add a course after the add period only in unusual circumstances, and must have the consent of the instructor before a petition is considered by the Committee on Academic Status. For details of the procedures to be followed, see the Undergraduate Catalog, "Changes in Registration."

##### **b. Course Withdrawal**

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

#### **2. Course Syllabus**

Each student shall receive a syllabus at the beginning of every course. The syllabus shall give the student some understanding of the intellectual content and educational goals of the course. It shall also state the factors that will be taken into consideration in assigning a grade including grading equivalences, and to the extent feasible, the general weight that will be given to each of the factors. No major course assignment shall be added or changed during the semester. For example, a term paper should not be assigned halfway through the semester. Less important changes in reading assignments or scheduled papers or tests may be necessary, but they shall be made with as much advance notice as possible, and they shall not constitute a major increase in the responsibilities of students.

Faculty members are encouraged to put their syllabi on the on-line syllabus system for the benefit of students who may be considering enrolling in the course.

### **3. Meeting Classes**

#### **a. Student Responsibilities**

An education system centered upon classroom instruction is predicated on the concept of regular class attendance. In support of this concept, the following principles are to be observed:

Except for reasonable cause, students are expected to be present at all regularly scheduled class meetings, particularly their last scheduled class in each of their courses preceding and their first scheduled class in each of their courses following the fall, Thanksgiving, semester break, and spring holidays.

Absence from class because of religious observance is considered in the same way as an unavoidable absence. Students who must miss a class, a test, or other work because of religious observance must be allowed to make that work up and shall receive no penalty for their absence. Students should notify the instructor in advance of the anticipated absence.

#### **b. Faculty Responsibilities**

Faculty members are expected to meet their classes at the time and places designated in the schedule of classes. Any changes in the regular schedule must be approved by the department chair and the Registrar.

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

course syllabus.

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

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

#### **4. Faculty Accessibility and Office Hours**

Faculty members are expected to be available to students and colleagues during the academic calendar of registration, classes, and examinations. Especially critical times are at the beginning and end of each semester when registration occurs, grades are reported, and decisions on academic or degree status are made. Regular office hours shall be held and the schedule of office hours shall be listed on course syllabi, posted on the office door, or otherwise made available to students. In setting this schedule, faculty should be aware that office hours spread over different days and times of day will reduce possible conflicts with students' schedules. Faculty members shall also be available to students for consultation by appointment.

#### **5. Evaluation of Students**

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

#### **6. Student Course Evaluations**

Faculty members shall distribute instructor/course evaluations in all sections of all courses, including those taught in Summer School. Although departments may have specific policies related to the use of instructor/course evaluations, all departments shall use a survey instrument that enables the collection of quantitative data on teaching performance, and shall include on this form common questions approved by the faculty. Faculty members must inform their students in advance of the procedures for distributing, collecting, and reviewing their comments. Evaluation forms must be collected and tabulated by someone other than the instructor. Faculty members shall not be present while the students are completing the evaluations and must not see the evaluations before final



course grades are submitted. Students are to be informed that their evaluations will not be reviewed prior to submission of the final grades in the course.

## **7. Final Examinations**

A final examination is an important part of the evaluation of each student's work, and is expected in all courses except seminars, colloquia, studio, or writing courses where final examinations may be unnecessary or inappropriate.

### **a. Examination Schedule**

The schedule for examinations is posted each semester in the Registration Bulletin and Schedule of Classes. The time of a final examination for an entire class may only be changed, within the limits of the examination period and when no conflict or hardship would result for any student, on the written recommendation of the instructor subject to the approval of the Dean of Undergraduate Studies. The instructor must protect the rights of each student when such a change is considered. Changes in the examination schedule for individual students are permitted in cases of conflict (see section i) or for certain section changes (see section ii). All other requests for individual schedule changes, including those for medical reasons, will be considered by the Dean of Students.

#### **i. Conflicts**

When a student has three scheduled examinations in three consecutive examination periods on consecutive days.

When a student has direct conflict between two scheduled examinations.

In such cases, arrangements shall be made at the Office of the Dean of Undergraduate Studies, Arts & Sciences as early as possible in the semester, but in no case later than the last scheduled day of a class. Requests for changes must be made on forms available at the Dean's Office. The Dean of Undergraduate Studies is responsible for supervising the above changes.

#### **ii. Section Changes**

The student requesting a change of section for the final examination has the responsibility of notifying the instructor in writing four weeks before the end of classes.

A student taking a course in which there are two sections taught by the same instructor may be permitted, with the instructor's approval, to choose in which of the two final examination periods he or she wishes to take the examination.

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

**iii. End of Semester**

Except for final laboratory examinations (including language laboratories and kinesiology activity classes), no test or final examinations may be given during the last week of classes or during the period between the end of classes and the beginning of the examination period or during any reading period.

**iv. Take-Home Final Examinations**

The deadline for returning take-home final examinations is the scheduled examination date for that class.

**b. Preparing and Administering Examinations**

Except in some cases where examinations are prepared cooperatively, each instructor is responsible for preparing and administering his or her own final examinations. In preparing and administering examinations, the instructor shall take reasonable precautions to prevent cheating. Instructors may be present during the examination.

**i. Re-examination**

The Faculty of Arts and Sciences does not permit a student to retake a final examination.

**ii. Retention of Examinations**

Final examinations must be returned to students or retained by the instructor. If the instructor retains the examinations they must be retained for a semester, and when practical, for two semesters. The instructor must make the examinations available to students

through the sixth week of the next regular semester, during which period students may request to review their final examination. The instructor who retains examinations but who will not be in residence the following semester must file the examinations in the department office.

**c. Deferred Examinations**

Faculty are not authorized to grant deferred examinations. Final examinations will be deferred only for extraordinary or compelling reasons; they shall not be postponed for personal convenience or to allow for additional study time. The only students eligible to take a deferred final examination are those who have been granted deferral by the Office of the Dean of Students. All deferred examinations will be administered by departments and programs no later than the end of the second full week of classes in the fall or spring semesters.

**d. Length of Examinations**

The time allocated for in-class final examinations is three hours unless a shorter time is specified in the course syllabus.

**8. Reporting Grades**

Near the end of every semester, the Registrar's Office will send forms and instructions, including deadlines, for turning in semester grades for regular students, for turning in semester grades for graduating seniors, for resolving deferred grades ("I" & "G") for regular students, and for resolving deferred grades ("I" & "G") for graduating seniors. All four of these will have separate due dates. Grades for graduating seniors may have earlier due dates. Faculty are required to meet these deadlines so that students can be graduated, grade reports can be generated, and records can be reviewed for academic dismissal in a timely fashion. It is the responsibility of each faculty member to make sure that his or her final course grade sheets are delivered to the Registrar's Office. Grade sheets may not be sent through the mails.

**a. Grading System**

Completed work in undergraduate courses is graded A (4.0), A- (3.7), B+ (3.3), B (3.0), B- (2.7), C+ (2.3), C (2.0), C- (1.7), D+ (1.3), D (1.0), D- (.7), and F which carries no credit (and no quality points). Students have the option to take one course a semester on a pass/fail basis in their junior and senior years for which they receive the grade of either P (pass) or F (fail). This option is arranged by the student through the on-line

registration system and usually the faculty member is not informed of the arrangement. “P” carries no grade points and is not included in a student’s quality point average. “F” carries no credit, but the hours attempted are included in the student’s average. Pass/fail courses cannot be used to satisfy GERs or proficiency or concentration requirements. Finally, there are other special letter grades for withdrawal (W), medical withdrawal (WM), for repeat of WRIT 101 only in the case where the student did not earn a “C” or better (R), for work not completed (I), for course situations beyond a student’s control (G), and or situations in which no grade was reported (NG). Grades of “O” and “U” are assigned to audited courses.

**i. Grade of “G”**

The “G” is a deferred grade reserved for situations over which a student has no control. Sometimes the situation is structural. With respect to departmental honors, for instance, the grade temporarily assigned for the fall semester is usually “G” with a final grade assigned for both fall and spring at the end of the spring semester. Sometimes the situation is one of personal emergency: an instructor, for instance, is incapacitated and cannot be replaced. The “G” shall not be used for an incomplete where the student is the cause of non-completion. Unlike the deferred grade “I”, “G” does not automatically revert to “F” after one semester. Students may not be graduated with any grades of “G.” A “G” must be converted to a regular grade by the time of graduation. It is the responsibility of the instructor to convert the grade or, in the absence of the instructor, it is the department’s responsibility.

**ii. Grade of “I”**

The grade “I” (incomplete) may be given only when a student has not completed essential course work because of illness or other extenuating circumstances. Although the regulation envisages the possibility of postponement for a full semester (the next regular semester), it is not automatic. If, for instance, the extenuating circumstances were to exist for a shorter period of time, then the postponement should be arranged accordingly. One additional extension may be granted (but not beyond a semester) only if the instructor concludes that the unusual reasons for the postponement still apply. The “I” grade may not be given for any reason other than the above. It automatically becomes an “F” at the end of the next regular semester unless a further extension (as above) is requested of the Registrar. Students may not be graduated with any grades of “I”. An “I” that is not completed at the time of

graduation will be converted to “F.”

**iii. Grade of “W”**

The “W” is reserved for course withdrawals. It is awarded to a student who withdraws from a course through the ninth week of the semester including holidays. Any other award of “W” is the province of the Committee on Academic Status.

**iv. Grades of “O” and “U”**

The grades of “O”, for a successful audit, and “U”, for an unsuccessful audit, are assigned to audited courses and become part of a student’s permanent record.

**v. Deadline for Reporting Grades**

It is essential for faculty to submit grades by the published final deadline so that the Committees on Academic Status and the Committee on Degrees can make continuance and graduation decisions in a timely manner. Every semester, twenty-four hours after the deadline, the Registrar will send the contact Deans the names of faculty members who have not yet submitted grades, along with the course names and any communications that they have had with the faculty member. The Deans will then determine, on a case-by-case basis, whether to excuse the tardiness. If it is not excused, the Deans will forward the names to the Dean of the Faculty, who will send the faculty member (and his or her Chair or Program Director) a letter explaining the seriousness of the grading deadline. Should a second offense occur within the next three years, the faculty member and the Chair or Program Director will personally meet with the Dean to discuss the matter. Subsequent offenses may be considered misconduct, and procedures described in the Faculty Handbook for Institutional Sanctions will be followed.

**b. Change of Grade**

To change a grade after it has been reported, an instructor must request the Dean of Undergraduate Studies to authorize the Registrar’s Office to make the change. Grade change forms are available in the Registrar’s Office and in the Office of the Dean of Undergraduate Studies. Included in the request shall be a brief statement about the grounds for the change. Grade changes based on clerical error (as opposed to reevaluation of student’s

work) may be made at any time until a student graduates. All other grade changes are regulated by the grade review procedure.

## **9. Grade Review**

A student who believes that a final course grade has been unfairly assigned may request a review of the grade by the end of the sixth week of the next regular semester following the semester or summer session of record or, if the review is requested following conversion of a temporary grade to a permanent grade, six weeks following the change from the temporary to the permanent grade. *This request must take the form of a written statement explaining the reasons for the request. (See 2 below). The following procedures will be followed.*

The student must first confer with the instructor of the course to discuss the grade. The student may wish to ask about such matters as the particular strengths and weaknesses of his or her course work, the general grade scale utilized by the instructor, and the relative ranking of the student's work in the class as a whole.

If the student is not satisfied by this discussion, or if the instructor's absence from campus precludes a discussion, he or she may, following the schedule above, present a written statement requesting a further review and giving a full explanation of the reasons for the request. *This written statement constitutes a formal request for a grade review.* The statement shall be sent to the instructor and the chair of the department or director of the program in which the course was taught. If the course is cross-listed in two or more departments or programs, the chair of the faculty member's home department will be the one to receive the written statement. If the grade in question was given by the department chair or program director, the student will ask the Dean of the Faculty to appoint another faculty member of the department or program to oversee the further review process. Unless the chair or director (or faculty member appointed by the Dean, in cases where the grade in question was given by the chair or director) decides the student's case is wholly without merit, he or she shall discuss the matter with the instructor and seek to resolve the issue. This part of the review process should be completed within three weeks of receipt of the written statement from the student.

If the student is not satisfied with the outcome of the above procedure, she or he may appeal in writing to the Dean of the Faculty (or to the Provost, in cases where the grade in question was given by the Dean). Unless the Dean decides that the student's case is wholly without merit, she or he will ask the chair or director (or faculty appointed by the Dean in cases where the grade in question was given by the chair or director) to appoint a committee of at least three faculty members of the department or program. The committee shall review all relevant and available materials supplied by the student, the instructor, or other

individuals. Both the student and the instructor have the right to meet with the committee.

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

After reviewing the matter, the committee shall either:

determine that the grade was fairly and appropriately awarded in which case the grade stands and no further review is warranted, or

determine that the grade was not fairly or appropriately awarded. In such cases, the committee will recommend specific actions to be taken by the instructor of record including, if warranted, changing the grade to one deemed by committee to be fair and appropriate.

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

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

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

## **10. Student Complaints**

If a student makes a complaint about a faculty member to a dean, and that complaint does not involve sexual harassment, affirmative action, the honor code,

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

## **11. Advising**

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

## **12. Honor System**

An important tradition of the College is the student-administered honor system centered in the honor code, the principles of which are discussed in detail in the current Student Handbook. The administrative body is the 18-member Honor Council composed of equal numbers of sophomores, juniors, and seniors. Council membership is by election; the members elect the chair from the seniors. Questions about the honor code should be addressed to the Office of the Dean of Students.

## **13. Students with Disabilities**

The College of William and Mary is committed to providing students who have College's educational standards, and sound ethical practice in disability services. Persons eligible for accommodation include all regularly enrolled students seeking degrees at the College of William and Mary, whether they are enrolled full time or part time. Students with disabilities affecting regular class attendance and/or academic performance should consult with the Assistant Dean of Students for Disability Services in the office of the Dean of Students to discuss and arrange for reasonable and appropriate accommodation. Faculty and staff members concerned about access to facilities or classrooms, or about particular students who may have disabilities, are encouraged to consult with the Assistant Dean of Students for Disability Services.



**14. Auditors**

Students may audit courses with permission of the instructor and the Bursar's Office. Request forms can be obtained from the Registrar's Office, Blow Hall. Audited courses are assigned grades of "O" for a successful audit, and "U" for an unsuccessful audit.

**15. Ordering Texts, Reading Lists, and Library Reserve Materials**

Order forms for class texts are sent to departments by the Campus Bookstore. Faculty members should consult department chairs about deadlines for submitting these forms. When planning their syllabi and ordering course texts, faculty members should be mindful of the total cost burden on students. Library materials to be placed on reserve at Swem Library should be submitted at least a week before they are needed. Consult the Reserve Room Librarian for further information.

**16. Duplication of Course Materials**

Faculty members who have extensive duplicating needs for hand-out material for their classes may wish to use either the Duplicating Services in Swem Library or the copying services at the College Bookstore (Custom Publishing through Barnes and Noble). Contact them for information about their policies on copyright permission and distribution to students. Departments may establish their own procedures about use of on-campus duplication of class materials, and faculty members should consult the department chair for details. Faculty members are reminded that no matter how they duplicate materials for class use, copyright laws apply.

**B. Conduct and Organization of Graduate Studies**

**1. Basic Responsibilities of Students and Faculty**

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

Faculty in programs and departments that offer graduate degrees have an obligation to share the responsibilities and duties that are part of the administration and operation of the graduate program. They should serve as research

advisors and members of thesis and dissertation committees, when appropriate; return comments on the work of students in a timely manner; consult with and advise students, even those for whom they are not the official advisor or instructor; and, when requested, write professional recommendations for students who are doing satisfactory work.

## **2. Graduate Credit**

All regular or provisional graduate students admitted to a course numbered 500 or above shall automatically be registered for graduate credit and shall receive graduate credit upon satisfactory completion of the course. This means that the course will be listed on the graduate transcript and will be included in computing the grade point average.

Regular or provisional graduate students, or unclassified (post-baccalaureate) students, may register for graduate credit in courses under the Faculty of Arts and Sciences numbered 400 to 499 provided they obtain the approval of the instructor, the graduate director of the department or program concerned, and the Dean of Research and Graduate Studies, prior to registration. Graduate credit will be awarded only upon successful completion of these courses with a grade of "B-" or better.

Qualified undergraduate students may register in courses numbered 500 or above for graduate or undergraduate credit under the conditions described in the Undergraduate Program Catalog.

## **3. Administration of Graduate Courses**

### **a. Administration of Courses Numbered 500-599**

Courses numbered 500-599 that are cross-listed with undergraduate courses numbered 400-499 will follow the policy and procedures listed in Section A of this Manual, except that graduate students attending these courses will follow the Add-drop procedures described in paragraphs 3b (ii)-(iv) below. Any 500 level course not cross-listed as an undergraduate course will follow the policy and procedures outlined in this section.

### **b. Administration of Courses Numbered 600 and above**

- i.** The registrar distributes class rolls.
- ii.** All changes in students' schedules after the last day to add courses (as defined in the calendar) shall be initiated through the student's major department or program committee and shall require the

approval of the instructors involved, the chairperson of the department or director of the program, and the Dean of Research and Graduate Studies. If the student drops a course or courses before the end of the ninth week of classes but remains registered for other academic work, the course or courses dropped shall be removed from the student's record. If the student drops a course or courses after the end of the ninth week of classes through the last day of classes, but remains registered for other academic work, the grade "W" or "F" shall be awarded by the instructor in the course depending upon whether or not the student was passing at the time the course was dropped.

- iii.** If the student withdraws from the College before the end of the ninth week of classes, a grade of "W" will appear on the record for each course in progress at the time of withdrawal. After the end of the ninth week of classes through the last day of classes, students who withdraw from the College shall be awarded a "W" or "F" by the faculty member teaching each course in progress at the time of withdrawal.
- iv.** Students may not drop a course after the last day of classes. If for medical reasons a student does not complete a course, "WM" will be entered on the record upon approval of the Dean of Research and Graduate Studies with recommendation from the Medical Review Committee (chaired by the Dean of Students).
- v.** Faculty shall provide a course syllabus or a statement of course requirements to all students at the beginning of the course. The syllabus may be modified as the course progresses, provided the students are given advanced notice of the changes and sufficient opportunity to complete any additional work required.
- vi.** Faculty are expected to meet all classes. A faculty member may cancel a formal class meeting to allow students to perform other educational activities of equivalent or superior value. If a faculty member must leave the campus for professional reasons, or if an emergency, illness, disability, or anticipated absence should prevent a faculty member from teaching a class, he or she shall notify the department chair and make appropriate provisions consistent with the course syllabus. The College does not cancel classes for religious holidays, but an individual faculty member may cancel or reschedule a class if it conflicts with a day of religious observance in his or her faith. The faculty member, in

consultation with the department chair, should determine whether the class should be rescheduled.

- vii.** Graduate students are expected to attend classes regularly and complete all assignments and examinations.
- viii.** Examinations are recommended but are not required if, in the judgment of the instructor, alternative ways of evaluating student performance are equivalent or superior. The goal is to evaluate the student in the context of his or her intellectual and professional development. Take-home examinations are permitted. All work to be evaluated, whether by examination or other means, must be completed by the end of the exam period. The College does not permit a student to retake a final examination. Final examinations should be made available for students to read but must be retained by the instructor for at least one semester. If the instructor is not in residence during the semester following the examination, the examination papers must remain available in the department office.
- ix.** Faculty are required to report course grades to the Registrar in a timely fashion as determined by the Registrar in consultation with the Dean of Research and Graduate Studies. It is the responsibility of each faculty member to make sure that his or her final course grades are delivered to the Registrar's Office. Grade sheets must be delivered in person.
- x.** In cases where a relevant course is not available, is not offered, or is cancelled, a student may be permitted, following the guidelines established by the faculty of the program and using course numbers approved by COGS, to enroll in an independent study.

#### **4. Auditing courses**

Any graduate student may informally attend a graduate course with the consent of the instructor. No grade will be given and informal attendance will not be listed on the transcript.

Any graduate student may audit a graduate course with permission of the instructor and the Bursar's Office. Request forms can be obtained from the Registrar's Office. Before beginning the audit, the student and the instructor must agree on what is required for the audit to be successful. The audited course and the grade of "O", for a successful audit, or "U" for an unsuccessful audit, are listed on the student's official transcript.

Graduate students may audit undergraduate courses under the procedures outlined in paragraph II.A.13. above.

**5. Student Course Evaluations**

Faculty members shall distribute instructor/course evaluations in all sections of all graduate courses, except independent research, thesis and dissertation research, independent study, and department colloquia. Although departments may have specific policies related to the use of instructor/course evaluations, all faculty members must inform their students in advance of the procedures for distributing, collecting, and reviewing their comments. Evaluation forms must be collected and tabulated by someone other than the instructor. Faculty members shall not be present while the students are completing the evaluations and must not see the evaluations before final course grades are submitted. Students are to be informed that their evaluations will not be reviewed prior to submission of the final grades in the course.

**6. Conduct and Supervision of Independent Research**

All research will be conducted in accordance with the highest ethical standards of the field (see Secs. III D and E of the Faculty Handbook). Any work which is not original shall be cited in the format customary to the instructor's or advisor's discipline, and assistance received from student and faculty colleagues should be acknowledged appropriately.

To the extent permitted by the source of the student's funding, faculty shall respect the freedom and independence of graduate students to carry out their own research. The choice of advisor and selection of a thesis or dissertation topic will be by mutual agreement between the student and the advisor. Advisors have an obligation to provide effective guidance and to encourage their students to conclude their degree work in a reasonable time.

**7. Comprehensive Qualifying Examinations**

All Ph.D. graduate students must pass a comprehensive qualifying examination prepared by the department's or program's faculty following guidelines and procedures recommended by the department or program and approved by COGS.

Performance on comprehensive qualifying examinations will be judged by a committee of professionals in the field. This Committee will consist of all faculty in the department or program responsible for the degree, or will be appointed by the Dean of Research and Graduate Studies in accordance with the requirements of individual degrees.

## **8. Evaluation of student academic progress**

The academic progress of each student shall be monitored by a committee following procedures recommended by the program and approved by COGS. This evaluation shall take into consideration the overall progress of the student toward his or her academic or professional goals. The faculty of a program has an obligation to keep students informed of their progress and to give ample warning if students appear unable to complete their programs of study.

The performance of graduate students in courses, on comprehensive qualifying examinations, and in teaching and research, and the acceptability of the thesis or dissertation submitted, must be based on objective, ethical, and professional criteria.

The acceptability of the thesis or dissertation will be judged by a committee of professionals in the field appointed by the Dean of Research and Graduate Studies in accordance with the requirements of individual degrees.

To continue in a program, a student must make satisfactory progress toward the degree, as defined by COGS and the regulations of the student's department or program. If the faculty of a program determines that satisfactory progress is not being made, a student may be required to withdraw because of academic deficiency.

## **9. Reporting Grades**

### **a. Grading system for graduate courses**

The grading system for graduate courses as approved by the faculty is described in the Graduate Catalogue.

The grade "G" shall be used when an instructor wishes to defer a grade for one or more semesters pending the completion of an extended project, and is routinely used when a student is engaged in ongoing research.

The grade "I" may be given only when a student has not completed essential course work because of illness or other extenuating circumstances. An "I" automatically becomes an "F" at the end of the next semester if the postponed work has not been completed unless the instructor in writing requests the registrar to extend the "I" for another semester. An "I" may not be extended more than once without the approval of the director of graduate studies and the Dean of Research and Graduate Studies.

The grade of “O” is given for a successful audit and “U” for an unsuccessful audit.

**b. Change of grade**

To change a grade (other than the “G” or “I”) after it has been reported, an instructor must request the Dean of Research and Graduate Studies to authorize the Registrar's Office to make the change. Grade change forms are available through the Registrar's Office. Included in the request should be a brief statement about the grounds for the change. Grade changes based on clerical error (as opposed to reevaluation of student's work) may be made at any time until a student graduates. All other grade changes are regulated by the grade review procedure.

**10. Grade Review**

A student who believes that a final course grade has been unfairly assigned may request a review of the grade within the first six weeks of the next regular semester following that in which the grade was received. This review shall normally be completed by the end of that semester.

The student shall confer with the instructor of the course to discuss the grade. The student may wish to ask about such matters as the particular strengths and weaknesses of his or her course work, the general grade scale utilized by the instructor, and the relative ranking of the student's work in the class as a whole.

If the issue remains unresolved the student may, within the first six weeks of the next academic semester for which the grade was received, present a written statement requesting a further review and giving a full explanation of the reasons for the request. The written statement shall be sent to the instructor, the graduate director, and the chair of the department or program in which the course was taught, and the Dean of Research and Graduate Studies shall be notified. If the course is cross-listed in two or more departments or programs, the chair of the faculty member's home department will be the one to receive the written statement. If the grade in question was given by the department chair or program director, the student will ask the Dean of the Faculty to appoint another faculty member of the department or program to oversee the further review process. Unless the chair or director (or faculty member appointed by the Dean, in cases where the grade in question was given by the chair or director) decides the student's case is wholly without merit, he or she will discuss the matter with the instructor and seek to resolve the issue. This part of the review process should be completed within three weeks of receipt of the written statement by the student.

If the student is not satisfied with the outcome of the above procedure, he or she

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

After reviewing the matter, the committee shall decide if it believes the grade should be changed, and if so, what the proper grade should be. It shall inform the instructor and the student of its conclusions in writing and, if it believes the grade should be changed, recommend that the instructor change the grade accordingly.

If the instructor refuses to accept the committee's recommendation and the committee believe that the faculty member is acting inappropriately in assigning the grade, the committee may appeal to the Dean of the Faculty. The Dean's decision to accept or reject the committee's recommendation shall be final.

#### **11. Procedures for Grievances Involving Graduate Students and Faculty**

Programs may follow their own procedures to address a grievance between a graduate student and a faculty member, provided they have been approved by COGS. If no such procedures have been approved, and the issue does not involve affirmative action, sexual harassment, or the honor code (which are covered by other College policies), or grade review (covered in paragraph 10 above), the following procedures shall apply:

The student and faculty member involved shall first try to resolve the issue amicably. If the matter remains unresolved, either party may report the grievance to the program's graduate director (or ombudsperson if the program has one). If the grievance involves the graduate director or ombudsperson, it shall be reported to the chair of the department, or in the case of multidisciplinary programs, to the director of the program. This report should be made within two weeks of the beginning of the semester following the incident, or the last of several incidents, on which the grievance is based. The graduate director, ombudsperson, or chair will meet with both parties and discuss the matter.

If either party is not satisfied with the outcome of this discussion, the matter may be brought to the attention of the Dean of Research and Graduate Studies (hereafter in this Section referred to as the Dean), and the Chair will be informed. This step must be initiated within four weeks of the receipt of the initial grievance by the graduate director, ombudsperson, or chair. The Dean shall discuss the grievance with both parties. If an agreement satisfactory to both parties can be reached, the Dean will record the agreement in writing.



If no agreement satisfactory to both parties is reached, and the Dean feels the case to be without merit, he or she shall inform the parties and drop the matter. Otherwise, within four weeks following the time the Dean was notified by the graduate director, ombudsperson, or chair, the Dean may report to the Dean of the Faculty, who will decide whether or not to pursue the matter further following College procedures (see the Faculty Handbook).

## **12. The Honor System**

Honor and integrity are essential components of an atmosphere where advanced studies and research can flourish. The College honor system is an essential part of graduate study and is described in the *Student Handbook*. Procedural questions should be addressed to the Office of the Dean of Students.

## **13. Teaching Assistants and Teaching Fellows**

Teaching Assistants (TAs) are W&M graduate students who assist an instructor by teaching sections or laboratories, grading papers, or in some other capacity. They are not instructors of record responsible for assigning final grades.

Teaching Fellows (TFs) are W&M graduate students who are instructors of record and responsible for assigning final grades. Only students who have passed their comprehensive exams and have met their program's definition of ABDs (all but dissertation) and who are trained and supervised by the program responsible for the course or courses involved may be TFs. All TF training programs must be approved by COGS and the Educational Policy Committee.