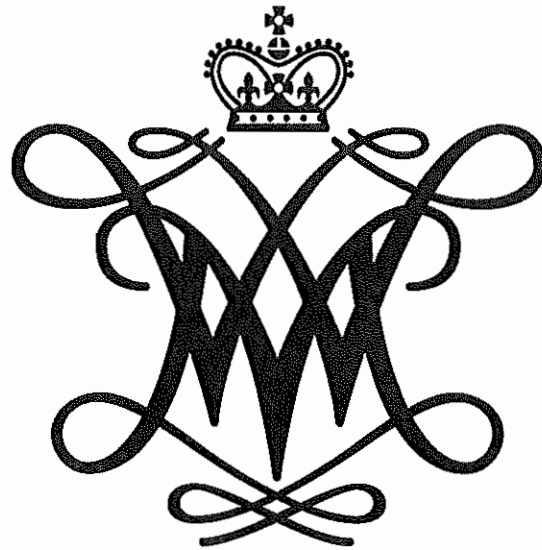


THE BOARD OF VISITORS
OF THE COLLEGE
OF WILLIAM & MARY
IN VIRGINIA



COMMITTEE MEETINGS

Board Rooms - Blow Memorial Hall

Matoaka Woods and Dogwood Rooms – School of Education

February 3 – 5, 2016

SCHEDULE

Board of Visitors Committee Meetings
The College of William and Mary

February 3-5, 2016
Blow Memorial Hall - College of William and Mary

WEDNESDAY, FEBRUARY 3:

BOARD DINING ROOM

2:15 p.m. Coffee available

BOARD ROOM – RICHARD BLAND COLLEGE COMMITTEE

2:45-4:30 p.m.	<u>Richard Bland College Committee</u> (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
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- A. Approval of Minutes
 - 1. November 16, 2015
 - 2. December 10, 2015 – *joint with Audit & Compliance*
- B. General Reports
- C. Action Material
 - 1. **Resolution 1**, pages 12-49
 - 2. **Resolution 2**, pages 50-73
- D. Informational Material
 - 1. Enclosure A, page 74
 - 2. Enclosure B, pages 75-77
 - 3. Enclosure C, pages 78-80
 - 4. Enclosure D, pages 81-83
 - 5. Enclosure E, page 84
- E. Closed Session (if necessary)

Board of Visitors
SCHEDULE
February 3-5, 2016

WEDNESDAY, FEBRUARY 3:

RECTOR'S OFFICE - EXECUTIVE COMMITTEE

4:30-6:30 p.m.

Executive Committee
(Mr. Fox)

Todd A. Stottlemeyer, 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 – November 18, 2015
- B. Discussion topics
- C. Closed Session (if necessary)

PLUMERI HOUSE

7:00 p.m.

Reception and Dinner

Board of Visitors
SCHEDULE
February 3-5, 2016

THURSDAY, FEBRUARY 4:

BOARD DINING ROOM

7:15 a.m. Breakfast available

BOARD CONFERENCE ROOM - COMMITTEE ON AUDIT AND COMPLIANCE

7:45-9:45 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
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- A. Approval of Minutes
 - 1. November 19, 2015
 - 2. December 10, 2015 - *joint with Richard Bland*
- B. Report from Auditor of Public Accounts
- C. Report from Report from Director of Internal Audit
- D. Report from Chief Compliance Officer
- E. Closed Session (if necessary)

BOARD ROOM - COMMITTEE ON ACADEMIC AFFAIRS

8:45-9:45 a.m.	<u>Committee on Academic Affairs</u> (Provost Halleran) 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
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- A. Approval of Minutes – November 19, 2015
- B. Report from Provost
- C. Report from Faculty Liaison Committee Chair
- D. Closed Session (if necessary)
- E. Action Materials
 - 1. **Resolution 3**, page 89
 - 2. **Resolution 4**, pages 90-91
 - 3. **Resolution 5**, pages 92-93
 - 4. **Resolution 6**, page 94
 - 5. **Resolution 7**, page 95
 - 6. **Resolution 8**, page 96
 - 7. **Resolution 9**, pages 97-98
 - 8. **Resolution 10**, pages 99-100

THURSDAY, FEBRUARY 4:

Committee on Academic Affairs (continued):

9. **Resolution 11**, pages 101-102
10. **Resolution 12**, pages 103-104
11. **Resolution 13**, pages 105-106
12. **Resolution 14**, pages 107-108
13. **Resolution 15**, pages 109-110
14. **Resolution 16**, pages 111-112
15. **Resolution 17**, pages 113-114

BOARD ROOM - COMMITTEE ON ADMINISTRATION, BUILDINGS AND GROUNDS

9:55-10:45 a.m.

Committee on Administration, Buildings
and Grounds

(Mr. Jones)

Keith S. Fimian

James A. Hixon

William H. Payne II

Karen Kennedy Schultz

DeRonda M. Short

Elizabeth Barnes, faculty representative

Ann Green Baise, Chair

John Charles Thomas, Vice Chair

- A. Approval of Minutes – November 20, 2015
- B. Report from Building Official
 - 1. Enclosure F, page 116
- C. Report from Virginia Institute of Marine Science Dean/Director
 - 1. Enclosure G, pages 117-119
- D. Report from Senior Vice President for Finance and Administration
 - 1. Enclosure H, pages 120-126
 - 2. **Resolution 18**, pages 127-128
 - 3. **Resolution 19**, pages 129-130
 - 4. **Resolution 20**, pages 131-132
- E. Closed Session (if necessary)

BOARD ROOM – COMMITTEE ON STRATEGIC INITIATIVES AND NEW VENTURES

10:45-11:45 a.m.

Committee on Strategic Initiatives
and New Ventures

(Provost Halleran, Mr. Broaddus)

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

- A. Introductory Remarks
- B. Closed Session (if necessary)
- C. Legislative Update
- D. Social Media Report

Board of Visitors
SCHEDULE
February 3-5, 2016

THURSDAY, FEBRUARY 4:

NOON Depart for School of Education

MATOAKA WOODS ROOM – SCHOOL OF EDUCATION

**JOINT MEETING - BOARD OF VISITORS / CWM FOUNDATION BOARD OF TRUSTEES /
ALUMNI ASSOCIATION BOARD OF DIRECTORS/ANNUAL GIVING BOARD OF DIRECTORS**

12:15 p.m. A. Call to Order and Welcome
 B. Working Lunch
 C. Closed Session
 D. Q&A session with President Reveley and Rector Stottlemeyer

4:15 p.m. Adjourn Joint Meeting and return to Blow Memorial Hall

*Walk from Blow Hall to The Historic First Baptist Church of Williamsburg, 727
Scotland Street, behind One Tribe Place, to ring refurbished bell*

DOGWOOD ROOM – SCHOOL OF EDUCATION

JOINT MEETING: COMMITTEE ON ATHLETICS AND CWMF ATHLETIC SUB-COMMITTEE

4:15-5:30 p.m.	<u>Committee on Athletics</u> (Mr. Driscoll) Kendrick F. Ashton, Jr. Keith S. Fimian Thomas R. Frantz Sue H. Gerdelman Denise Johnson, faculty representative	H. Thomas Watkins III, Chair DeRonda M. Short, Vice Chair
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- A. Approval of Minutes – November 19, 2015
- B. Closed Session (if necessary)
- C. Update on Summits
- D. Tribe Club Survey
- E. Women in Action Update

5:30 p.m. Recess Committee meetings

PHI BETA KAPPA AUDITORIUM AND ANDREWS HALL FOYER

5:30 p.m. Chancellor Robert Gates Book Discussion and Signing

SWEM LIBRARY READ & RELAX AREA AND BOTETOURT GALLERY

6:30 p.m. **JOINT INFORMAL RECEPTION/DINNER** with Board of Visitors / CWM
Foundation Board of Trustees / Alumni Association Board of Directors /
Annual Giving Board of Directors

Board of Visitors
SCHEDULE
February 3-5, 2016

FRIDAY, FEBRUARY 5:

BOARD DINING ROOM

8:00 a.m. Breakfast available

BOARD ROOM – COMMITTEE ON FINANCIAL AFFAIRS

8:30-9:15 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 – November 20, 2015
- B. Report from Senior Vice President for Finance and Administration
 - 1. Enclosure I, pages 137-138
 - 2. **Resolution 21**, pages 139-149
 - 3. **Resolution 22**, page 150
 - 4. Enclosure J, pages 151-160
- C. Report from Virginia Institute of Marine Science Dean/Director
 - 1. Enclosure K, page 161
 - 2. Enclosure L, page 162
- D. Investment Portfolio Evaluation Overview
 - 1. Enclosure M (*see separate booklet*)
- E. Closed Session (if necessary)

BOARD ROOM

9:15-10:15 a.m. Provost Report and Faculty Presentation

10:15 a.m. Recess Committees

BOARD ROOM – BOARD OF VISITORS MEETING:

10:30 a.m. BOARD MEETING - see MEETING AGENDA Mr. Stottlemeyer

BLOW ROOM 201:

12:30 p.m. Lunch with Cypher Society

FRIDAY, FEBRUARY 5:

CHARTER DAY CEREMONY – WILLIAM & MARY HALL

- | | |
|----------------|--|
| 3:30 p.m. | Platform Party Robing / Rooms 221 and 225 |
| 4:00-5:15 p.m. | Charter Day Ceremony / Kaplan Arena |
| 5:15-6:30 p.m. | Post-Ceremony President's Platform Party Reception / Person Room |

SATURDAY, FEBRUARY 6:

SADLER CENTER – COMMONWEALTH AUDITORIUM

- | | |
|------------------|--|
| 10:00-11:00 a.m. | Alumni Medallion Ceremony
(Glenmore Hines Harding '65, Jane Thompson Kaplan '56, Walter W.
"Pete" Stout III '64, Ann Harvey Yonkers '63) |
|------------------|--|

ALUMNI HOUSE

- | | |
|-----------------|----------------------------|
| 11 a.m.-12 Noon | Alumni Medallion Reception |
|-----------------|----------------------------|

WILLIAM & MARY HALL – KAPLAN ARENA:

- | | |
|-----------|--|
| 2:30 p.m. | Men's Basketball: W&M vs. Delaware
Gold Rush Game – t-shirts for first 6,000 guests |
|-----------|--|

WILLIAMSBURG LODGE – CHARTER DAY RECEPTION & DINNER (black tie)

- | | |
|-----------|-----------------------------|
| 6:30 p.m. | Reception – Colony Ballroom |
| 7:30 p.m. | Dinner – Virginia Ballroom |
| 9:30 p.m. | Dancing – Colony Ballroom |

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

February 3-5, 2016
Board Room - Blow Memorial Hall

RICHARD BLAND COLLEGE

Resolution 1, pages 12-49	Richard Bland College Faculty Handbook
Resolution 2, pages 50-73	Modifications to the Policy Manual with Regard to Administrative and Professional Employees
Enclosure A, page 74	Leave of Absence for Delegate Lashrecse D. Aird
Enclosure B, pages 75-77	Capital Outlay Progress Report
Enclosure C, pages 78-80	2015-2016 Operating Budget Update
Enclosure D, pages 81-83	Report from Faculty Representative
Enclosure E, page 84	Report from Student Representative

COLLEGE OF WILLIAM AND MARY

Resolution 3, page 89	Appointments to Fill Vacancies in the Instructional Faculty
Resolution 4, pages 90-91	Faculty Promotions
Resolution 5, pages 92-93	Award of Academic Tenure
Resolution 6, page 94	Designated Professorships
Resolution 7, page 95	Term Distinguished Professorships
Resolution 8, page 96	Faculty Leaves of Absence
Resolution 9, pages 97-98	Retirement of Sharon Hall deFur School of Education

Board of Visitors
AGENDA ITEMS
February 3-5, 2016

Resolution 10, pages 99-100	Retirement of George D. Greenia Department of Modern Languages and Literatures
Resolution 11, pages 101-102	Retirement of Barbara J. King Department of Anthropology
Resolution 12, pages 103-104	Retirement of Juanita Jo Matkins School of Education
Resolution 13, pages 105-106	Retirement of Terry L. Meyers Department of English
Resolution 14, pages 107-108	Retirement of Richard H. Palmer Department of Theatre, Speech and Dance
Resolution 15, pages 109-110	Retirement of Charles Perdrisat Department of Physics
Resolution 16, pages 111-112	Retirement of Gary W. Rice Department of Chemistry
Resolution 17, pages 113-114	Retirement of W. Larry Ventis Department of Psychology
Resolution 18, pages 127-128	Resolution to Approve Demolition of Millington Hall
Resolution 19, pages 129-130	Resolution to Approve Demolition of Lodges
Resolution 20, pages 131-132	Resolution to Approve Non-General Fund Capital Projects
Resolution 21, pages 139-149	Cash Management Investment Policy
Resolution 22, page 150	Corporate Resolution to Transact Business and Confirm Authorized Business Agents for the College of William and Mary

Board of Visitors
AGENDA ITEMS
February 3-5, 2016

Enclosure F, page 116	Report from Building Official
Enclosure G, pages 117-119	Virginia Institute of Marine Science Capital Outlay Project Progress Report
Enclosure H, pages 120-126	College of William and Mary Capital Outlay Project Progress Report
Enclosure I, pages 137-138	College of William and Mary Summary of Operating and Capital Budget Amendments Submitted to the 2016 General Assembly
Enclosure J, pages 151-160	College of William and Mary 2015-2016 Operating Budget Summary
Enclosure K, page 161	Virginia Institute of Marine Science Summary of Operating and Capital Budget Amendments Submitted to the 2016 General Assembly
Enclosure L, page 162	Virginia Institute of Marine Science 2015-2016 Operating Budget Summary
Enclosure M	Investment Update for Periods Ending December 31, 2015 (<i>see separate booklet</i>)

RICHARD BLAND COLLEGE COMMITTEE

February 3, 2016

2:45 - 4:30 p.m.

Board Room – Blow Memorial Hall

John E. Littel, Chair

Ann Green Baise, Vice Chair

- I. Introductory Remarks – Mr. Littel
- II. Approval of Minutes
 - A. November 16, 2015
 - B. December 10, 2015 (*joint with Audit and Compliance*)
- III. General Reports
 - A. Report from President Debbie L. Sydow
 - B. Report from Special Assistant to the President for Finance – Penny Howard
 - C. Report from Faculty Representative – Jill Mitten
 - D. Report from Student Representative – Amanda Archer
- IV. Action Material
 - A. Richard Bland College Faculty Handbook **Resolution 1**
 - B. Modifications to the Policy Manual with Regard to Administrative and Professional Employees **Resolution 2**
- V. Informational Material
 - A. Leave of Absence for Delegate Lashrecse D. Aird Enclosure A
 - B. Capital Outlay Progress Report Enclosure B
 - C. 2015-2016 Operating Budget Update Enclosure C
 - D. Report from Faculty Representative Enclosure D
 - E. Report from Student Representative Enclosure E
- VI. Closed Session (if necessary)
- VII. Discussion
- VIII. Adjourn

RICHARD BLAND COLLEGE COMMITTEE
MINUTES – NOVEMBER 16, 2015

JOINT WITH AUDIT & COMPLIANCE
MINUTES – DECEMBER 10, 2015

MINUTES
Richard Bland College Committee
November 16, 2015
Room 104 – McNer Hall, Richard Bland College

Attendees: John E. Littel, 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. Others present: President Debbie L. Sydow, Lashrecse Aird, Deanne N. Bell, Jeffrey S. Brown, Kent B. Erdahl, Michael J. Fox, Mary Gurnick, Tyler Hart, Penny Howard, Aimee Joyaux, Eric Kondzielawa, Michael Lehman, Vern L. Lindquist, Deborah A. Love, Sarah E. Melchior, Chuck Moore, LeJeanna Raymond, Matthew J. Smith, Joanne H. Williams, Leslie C. Williams, Sandra J. Wilms, Stephen P. Wilson, and other Richard Bland staff.

Chair John Littel called the Committee to order at 11:27 a.m., thanked the Richard Bland staff for making this visit possible and briefly reviewed the agenda. Mr. Littel thanked Professor Mitten, President Sydow and Dean Lindquist for setting up the classroom visits.

Recognizing that a quorum was present, Mr. Littel asked for a motion to approve the minutes of the meeting of September 16, 2015. Motion was made by Ms. Roday, seconded by Ms. Dillon, and approved by voice vote of the Committee.

President Debbie Sydow thanked the Committee members for traveling to the campus and visiting classes.

Dean of Enrollment Services Tyler Hart provided a progress report on enrollment growth and an update on the 2019 Enrollment Management Plan. President Sydow recognized Mr. Hart and Communications Director Joanne Williams for their work in promoting the College through various local media. A brief discussion ensued.

Dean of Faculty and Academic Effectiveness Vern Lindquist provided an update on academic programs, including on-line delivery of the A.S. Business degree, which is ready for delivery in Spring 2016, and the A.A. degree, which will be ready for Fall 2016. A brief discussion ensued.

Associate Dean of Academic Support & Learning Resources Aimee Joyeaux discussed the Exceptional Student Experience (ESE) program and the role of the learner/mentor model at Richard Bland, noting that preliminary results are very promising.

Athletics Director Chuck Moore reported on the development of the athletics program, including marketing aspects and the emphasis on academic excellence. A brief discussion ensued.

Special Assistant to the President for Finance Penny Howard provided the financial update, noting that **Resolution 12**, 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, was joint with William and Mary, and provided an update on the 2014-2015 operating budget. A brief discussion ensued.

Richard Bland College Committee
MINUTES
Page 2

Faculty representative Jill Mitten reported on faculty issues, detailed in Enclosure A, and thanked the Committee members for taking part in the class visits.

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

Following President Sydow's overview, Mr. Littel asked for a motion to approve as a block **Resolution 1**, Adoption of Changes to Richard Bland College Policy Manual, **Resolution 2**, Modification to the Faculty Handbook with Regard to Specified Term Appointments, and **Resolution 12**, 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. Motion was made by Ms. Gerdelman, seconded by Ms. Dillon and approved by voice vote of the Committee.

Mr. Littel moved that the Richard Bland College Committee convene first in Closed Session to discuss the evaluation of specific personnel and the performance of departments or schools; and for briefings by legal counsel or staff members pertaining to specific legal matters, then 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. and 7., of the Code of Virginia. Motion was seconded by Ms. Roday and approved by voice vote. The observers were asked to leave the room and the Committee went into Closed Session at 12:40 p.m.

The Committee reconvened in open session at 3:02 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. Schultz and approved by roll call vote of the Board members conducted by Secretary to the Board Michael Fox. (Certification **Resolution** is appended.)

There being no further business, the Committee adjourned at 3:03 p.m.

November 16, 2015

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:

6

NAYS:

0

ABSENT DURING CLOSED SESSION:



John E. Littel
Chair
Richard Bland College Committee

MINUTES
Joint Meeting: Richard Bland College Committee
and Committee on Audit and Compliance
December 10, 2015
Barn Theatre – Richard Bland College

Richard Bland College Committee 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.

Committee on Audit and Compliance Attendees: John Charles Thomas, Chair; Christopher M. Little, Vice Chair; Ann Green Baise, John E. Littel, William H. Payne II.

Others present: President Debbie L. Sydow, Lashrecse Aird, Deanne N. Bell, Kiersten L. Boyce, Jeffrey Brown, Kent B. Erdahl, Michael J. Fox, Penny G. Howard, Vern L. Lindquist, Deborah A. Love, Sarah E. Melchior, Chuck Moore, Joanne Williams, Leslie Williams, Sandra J. Wilms, and other Richard Bland staff.

Commonwealth's Attorney for Dinwiddie County Ann Cabell Baskervill was also in attendance.

Richard Bland College Committee Chair John Littel called the joint meeting to order at 10:00 a.m., welcomed the members of the Audit and Compliance Committee, and briefly reviewed the purpose of the meeting, noting it was intended to be a work session to continue the discussions on compliance and audit from the November meeting, including Title IX compliance.

Audit and Compliance Committee Chair John Charles Thomas explained the compliance and audit functions as protective, noting the Committee was looking for best practices.

President Debbie Sydow welcomed the Board members to campus and, as a background to the discussion, provided a brief history of the development of Richard Bland College

Dinwiddie County Commonwealth's Attorney Ann Cabell Baskervill thanked the Board members for inviting her to participate in the discussion.

William and Mary's Chief Compliance Officer Kiersten Boyce provided an overview of the compliance process, including the different ways in which activities are regulated under Title IX and the Clery Act. A general discussion ensued.

Richard Bland's Director of Human Resources and Compliance Deanne Bell discussed Title IX compliance at the College, noting collaboration with William and Mary and assistance from Deb Love and Sarah Melchior. A general discussion ensued.

Richard Bland's Chief of Policy Jeffrey Brown reviewed updates to the Code of Virginia regarding sexual violence and briefly discussed the jurisdictional differences since the College is located in both Prince George and Dinwiddie counties. A general discussion ensued.

JOINT MEETING:
Richard Bland College Committee and
Committee on Audit and Compliance
MINUTES
Page 2

Director of Internal Audit Kent Erdahl discussed the audit function at Richard Bland College, commenting on the challenges to creating a sustainable compliance environment. Judge Thomas commented on the establishment of the Internal Audit plan and briefly explained the development of the plan for Richard Bland. A general discussion ensued.

There being no further business, the joint meeting adjourned at 12:45 p.m.

Chair John Littel convened the Richard Bland College Committee at 12:45 p.m. for a brief meeting to discuss the progress on the revision of the Faculty Handbook.

President Sydow and Dean Lindquist reported that the Handbook revisions will be brought to the Board in February, following completion of the review process on campus. Dean Lindquist outlined the steps in the review process, noting that the Faculty Assembly will vote on the recommendation on December 15, then the President and Dean Lindquist will review and finalize the material. Ms. Love advised that Title IX changes have been a major part of the revisions. A general discussion ensued.

Faculty representative Jill Mitten briefly discussed her views on the current relationship of the faculty with President Sydow, noting in her opinion, the shared governance structure is now working well. A brief discussion ensued.

Mr. Littel moved that the Richard Bland College Committee first convene in Closed Session to discuss specific personnel matters and for briefings by legal counsel or staff members pertaining to specific legal matters, then 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. 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 Closed Session at 1:17 p.m.

The Committee reconvened in open session at 2:35 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 Richard Bland College Committee adjourned at 2:35 p.m.

December 10, 2015

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

RICHARD BLAND COLLEGE

RICHARD BLAND COLLEGE FACULTY HANDBOOK

WHEREAS, official operational and personnel policies and procedures must occasionally be revised to reflect changing conditions in higher education; and

WHEREAS, the Faculty Affairs Committee has reviewed and submitted recommendations to the Faculty Assembly regarding revisions to the Faculty Handbook; and

WHEREAS, the Faculty Assembly has reviewed these revisions and recommended approval to the Dean of Faculty; and

WHEREAS, the Dean of Faculty and President, in consultation with University Counsel, have reviewed the revisions to the Faculty Handbook;

THEREFORE, BE IT RESOLVED, That upon the recommendation of the President, the Board of Visitors of the College of William and Mary approves the revisions to the *Richard Bland College Faculty Handbook*, as detailed in the following pages, effective immediately.

BE IT FURTHER RESOLVED, That the policies contained in the Richard Bland College Faculty Handbook supersede and replace all previous Richard Bland College Faculty Handbooks, and to the extent there is a conflict between the policies in the Richard Bland College Faculty Handbook and other, non-superseded policies, the terms of the Richard Bland College Faculty Handbook control; and

BE IT FINALLY RESOLVED, That the Board of Visitors delegates to the President of Richard Bland College the authority to interpret the Richard Bland College Faculty Handbook.

RICHARD BLAND COLLEGE FACULTY HANDBOOK

I. FACULTY RESPONSIBILITIES

Faculty members are responsible for delivering educational content to achieve established student learning outcomes. Faculty are expected to regularly assess student learning outcomes against established goals and then adjust curricular content and instructional methodologies accordingly. In general, faculty members are responsible for supporting the mission and goals of Richard Bland College and its academic, administrative, and institutional policies. Position descriptions can be found on the College website. In addition to their responsibilities for teaching and scholarship as outlined in the position descriptions, faculty members are also responsible for participating in the shared governance system as outlined in section II below.

II. SHARED GOVERNANCE

At Richard Bland College, Shared Governance is a mutual commitment among the board of visitors, faculty and the president's administration—each in accordance with their respective goals and responsibilities—to work collaboratively to achieve the mission and strategic goals of the College in an environment of transparency, trust, and respect.

Engagement in institutional committees is a primary means through which faculty contribute to shared governance. It is the responsibility of faculty members to be concerned with the educational programs of the College and to make recommendations, through the committee structure outlined below, to the administration concerning these programs. The integrity of the educational programs of the College depend upon the due consideration of the proper committees (II.A.) and the Faculty Assembly (II.B.).

A. Institutional Committees

The following are the standing committees of Richard Bland College, including their membership, duties, and reporting line. Each committee receives reports on the status of their action items from the appropriate member of the President's Council to ensure clear lines of communication. Committees will receive charges at the beginning of each academic year from the appropriate President's Council member and will report their activities and progress regularly to that member, to the Faculty Assembly, to the campus community and to the President. Committees may also initiate new business, as appropriate, or take up other matters brought to their attention by academic area coordinators or other administrators. Unless otherwise specified, committee chairs will be appointed for a term of one year (not to exceed three consecutive years) at the first meeting of the academic year. Unless otherwise stated, *ex officio* members are non-voting.

1. Instructional Programs/Curriculum Committee

Membership: one faculty member elected from each academic area plus one elected at-large (total of five); one student appointed by Student Assembly; representatives from registrar, enrollment services and library *ex officio* (total of three *ex officio*); reports to Faculty Assembly through the Committee Chair.

Duties:

- a. Keep informed of degree requirements of area colleges and of national curriculum trends;
- b. Review, propose, and consider recommendations to modify, add to, or delete from degree requirements and curricula in support of College's Strategic Plan;
- c. Seek advice of academic disciplines before making recommendations to change policies or programs to be recommended to the Dean of Faculty for approval;
- d. Review and recommend modifications of, deletions from, or additions to policies, programs, and course descriptions to the Dean of Faculty.

2. Student Life and Engagement Committee

Membership: three faculty elected at-large; representatives from Residence Life, Athletics, Advising/ESE; co-chaired by Residence Director and Assistant Dean of Academic Success; reports to President's Council through the RD or Chief Student Life Officer.

Duties:

- a. Oversee Student Assembly, reviewing and advising regarding the disposition of local funds for student activities and a robust leadership development experience for all students leaders;
- b. Review and advise regarding plans and related budgets for student activities, clubs, and intramural programs;
- c. Monitor and assess progress relative to the goals of student organizations and student life activities, ensuring that programs and activities align with the College's strategic priorities;
- d. Devise ways to provide the bookstore, dining services, and other auxiliary services with broad-based student input that can be used to improve services to students.

3. Student Support and Success / ESE Committee

Membership: one faculty member from each academic area (total of four); representatives from finance, enrollment services; chaired by Dean of Enrollment Services; reports to President's Council through Dean of Enrollment Services.

Duties:

- a. Oversee the activities of the First Year Experience program;
- b. Review and advise concerning Advising and ESE/Learner Journey programming;
- c. Review and advise concerning the Student Success Center, including the Library, Counseling, and Tutoring.
- d. Ensure that academic support and success activities are in support of the College's Strategic Plan.

4. Faculty Affairs Committee

Membership: one faculty member elected from each academic area plus one elected at-large (total of five); representatives from finance, enrollment services, Director of Human Resources (total of three *ex officio*); reports to Faculty Assembly through the Committee Chair.

Duties:

- a. Study concerns of faculty with regard to faculty welfare in such areas as salary, fringe benefits, and working conditions;
- b. Propose various programs and policies for faculty development in such areas as in- service activities, continuing education, promotions, and tenure;
- c. Review, propose, and consider recommendations to the Dean of Faculty concerning modifications of, additions to, or deletions from the Faculty Handbook to support the College Strategic Plan;
- d. Advise concerning recruitment of faculty.

5. Academic Standards and Appeals Committee

Membership: one faculty member from each academic area plus representative from honors (total of five); representatives from registrar and athletics (total of two *ex officio*); reports to President's Council through Dean of Faculty.

Duties:

- a. Develop recommendations concerning admissions standards and policies consistent with the College's Strategic Plan, including honors program;
- b. Develop recommendations and review academic standards and policies conducive to quality education, including dual enrollment and online/distance;
- c. Review and determine academic status of students in cases not clearly delineated by established standards;
- d. Hear and decide, subject to further right of appeal, individual exceptions and/or appeals in areas such as admissions, academic status, adjustment of academic records, and waiver of degree requirements in exceptional cases;
- e. Designate representatives to serve on academic appeals team each semester;
- f. Review overall campus academic assessments.
- g. Conduct formal hearings of faculty grievances

6. Operations and Finance Committee

Membership: one faculty member from each academic area plus representatives from enrollment services, finance, and facilities; reports to President's Council through CFO.

Duties:

- a. Facilitate review of budget proposals in support of College's Strategic Plan;
- b. Review non-academic grant proposals;
- c. Inform the development of transparent College budget;
- d. Communicate results to stakeholders;
- e. Monitor relevant SACS standards.

B. Faculty Assembly

1. Purpose and Scope

The purpose of the Faculty Assembly is to advise the Dean of Faculty and the President on matters affecting the welfare of the College and to ensure effective faculty participation in the governance of the College as a whole.

- a. The Faculty Assembly will achieve this purpose by facilitating communication and collaboration between faculty and administration and promoting the welfare of students, faculty and the College in general. This includes but is not limited to studying issues and recommending policies to the administration and participating in the development of the educational, curricular, research and service components of the College.
- b. The Faculty Assembly shall have access to the agendas of the Board of Visitors that pertain to Richard Bland College, strategic planning for Richard Bland College, reports of all college-wide committees, and preliminary drafts of the College budget.

2. Membership

- a. The membership shall consist of the regular, or voting members, and the associate, or non-voting members.
- b. The regular members shall be all full-time Richard Bland College employees with academic faculty rank and one elected adjunct faculty member; the associate members shall be all other faculty.

3. Structure

- a. The College President, or her/his designee, shall preside at meetings of the Faculty Assembly. The agenda for Faculty Assembly meetings will be prepared by the Dean of Faculty.
- b. Ordinarily, the Faculty Assembly will meet monthly. Meetings are open to the entire College community. Adjunct faculty are encouraged to participate and to elect a representative to vote on their behalf.
- c. Minutes and Agendas will be the responsibility of the Dean of Faculty. As far as possible, agendas for meetings will be presented at least five business days in advance.

III. ACADEMIC ADMINISTRATION

A. Dean of Faculty

The Dean of Faculty manages all aspects of academic effectiveness and contributes to strategic, data-driven policy development and decision making to advance the College mission, vision, and strategic plan. The Dean of Faculty is responsible to:

- Manage the recruitment, ongoing professional development and evaluation/assessment of faculty and instructional staff to deliver high quality teaching/coaching in all modalities and to achieve consistently high levels of success in student learning outcomes

- Manage the portfolio of academic programs and ongoing program assessment to deliver relevant, high quality, market-driven academic programs in direct support of strategic enrollment management (SEM).
- Coordinate periodic academic program review and work with Academic Area Coordinators in the review, study, and development of curriculum and in the continuous improvement of instruction and student learning outcomes.
- Develop and implement academic-related internal policies, procedures and practices in alignment with College and SEM goals and objectives, and ensure compliance with internal, accreditation and all regulatory requirements
- Lead and advocate the development and utilization of technology and other pedagogical innovations to improve instructional and learning outcomes effectiveness
- Coordinate/collaborate across departments to meet student needs and promote student development, retention, learning outcomes and, in general, student success.

B. Academic Area Coordinator

Each Academic Area is an administrative unit composed of related academic disciplines established to facilitate the coordination of faculty efforts and to promote inter-disciplinary activities. Academic disciplines at Richard Bland College are grouped under four areas: Natural Science, Mathematics, Language & Humanities, and Social & Behavioral Sciences.

- Natural Science: Biology, Chemistry, Health, Physics.
- Mathematics: Mathematics, Computer Science.
- Language & Humanities: Composition, Foreign Languages, Geography, Government, Literature, Philosophy, Religion, Speech, Theatre.
- Social & Behavioral Sciences: Art, Business, Economics, History, Music, Psychology, Sociology.

The composition of Academic Areas will be periodically assessed and adjusted as needed in support of the College mission and RBC-19 goals.

On or before April 15 of each year, full-time faculty in designated academic areas recommend Academic Area Coordinators (who teach a reduced load as determined by the Dean of Faculty) to the Dean of Faculty for consideration. The Dean of Faculty submits a final recommendation to the President for approval. Coordinators are subject to annual review by the Dean of Faculty and President, and serve staggered three-year terms.

The Academic Area Coordinators, along with the Associate Dean(s) and the Dean of Faculty, will comprise the Academic Council. The Academic Council will meet regularly to ensure that the business of academic areas (curriculum, instruction, and assessment most importantly) moves forward and that communication remains open and transparent. Members of the Academic Council will also serve on the President's Council.

Current job descriptions for Academic Area Coordinators are available on the RBC website.

IV. ACADEMIC FREEDOM

Richard Bland College endorses the principles of academic freedom and subscribes to the Principles on Academic Freedom and Tenure, adopted jointly in 1940 and interpreted in 1970 by the Association of American Colleges and by the American Association of University Professors, the main points of which are: Faculty members are entitled to freedom in research and in the publication of the results, subject to the adequate performance of their other academic duties and compliance with College policies.

The College realizes that academic freedom is essential for acquiring and maintaining a strong faculty. A faculty member, while recognizing a special responsibility to the College as a contributing scholar, requires freedom of discussion in the classroom and freedom of professional research and publication of results. Dedicated to the free pursuit of truth, a faculty member should consider it a basic duty to encourage freedom of inquiry in peers and in students.

Faculty members are entitled to their political rights and should be free from institutional censorship or discipline for exercising them; but their special position in the community imposes special obligations. They should remember that they are members of a learned profession and officers of an educational institution. Hence, they should at all times be accurate, should exercise appropriate restraint, should show respect for the opinions of others, and should make every effort to indicate that they are not institutional spokespersons.

This protection of academic freedom applies to all faculty members and to all others who exercise teaching or research responsibilities while they are fulfilling their responsibilities as faculty members.

V. GUIDELINES FOR FULL-TIME FACULTY RECRUITMENT

A. Advertisements

Advertisements will be published or mailed to organizations, publications and institutions on the list in the Richard Bland College AA/EEO Faculty Recruitment Plan.

B. Applications

Applications postmarked through the published deadline will be processed according to criteria described in the advertisement and the AA/EEO Guidelines. The AA/EEO Officer will explain these guidelines at the first meeting of the Screening Committee.

C. Screening Committee

1. The Screening Committee (comprised of faculty and staff and including individuals in the field(s) of recruitment, when possible and applicable) is recommended by the Dean of Faculty and appointed by the President; it will review all applications for the position using the Faculty Recruitment Evaluation Sheet provided by the Dean of Faculty. The Screening Committee may use telephone/video conference calls with each semi-finalist as part of the screening process.

2. The Screening Committee will present a list to the Dean of Faculty of not fewer than three finalists and a recommendation regarding which candidates should be invited to the campus for an interview.

D. Interviews

The Dean of Faculty will review the Committee's recommendation with the President and, following a reference check, invite one or more candidates to the campus for an interview. The campus interview should include the following activities:

- meeting with the Dean of Faculty,
- meeting with faculty and staff,
- presentation to the College community
- meeting with the President,
- meeting with the Screening Committee,
- meeting with the Director of Human Resources to review benefits and financial policies,
- tour of campus and Petersburg area.

The credentials of candidates invited to campus will be available in the Office of the Dean of Faculty for review by all faculty and staff. Reactions of the faculty and staff should be provided to the Screening Committee.

E. Selection

1. If the Dean of Faculty concurs with the recommendation of the Screening Committee, it is forwarded to the President for review and decision.
2. If the Dean of Faculty does not concur with the recommendation of the Screening Committee, he or she will inform the Committee of the reasons and request consideration of other candidates. If the Screening Committee continues to support their initial recommendation, it may be forwarded to the President for consideration.

F. Hiring

1. The President will have the final authority on all appointments. A letter of intent to make an offer will be presented by the President to the candidate.
2. Expenses for the candidate only (not family) will be paid in accordance with State guidelines and not to exceed an established cap.
3. The Dean of Faculty will involve the appropriate Academic Area Coordinator in the selection of adjunct faculty, time permitting.

VI. FACULTY APPOINTMENTS

The teaching faculty whose original appointments are made by the Board of Visitors, are reviewed annually by the Dean of Faculty and the President. If a change of status results in a promotion in rank, Board approval is again required.

Full-time faculty appointments at the College are held under one of the following categories:

A. 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.

B. 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.

C. 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.

1. Initial Appointment – The first year of employment for specified-term teaching faculty.
2. 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 VII.A.
 - a. One-year Appointment – A one-year appointment shall be for one (1) year and may be renewed annually.
 - b. 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- nor a five-year appointment shall be affected by change in faculty rank.
3. 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.
4. 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.
5. 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.

D. Adjunct appointments

Qualified individuals may be appointed to part-time, short-term (normally, one semester) contracts to provide instruction in specified courses. Adjunct faculty members do not qualify for benefits. Time served as an adjunct faculty member does not accrue toward tenure, and tenure cannot be awarded at this rank.

VII. FACULTY EVALUATION AND PROFESSIONAL ADVANCEMENT

A. Description

1. An evaluation of the performance of all faculty members will be conducted on a periodic basis, including an Annual Faculty Evaluation of all faculty members and an in-depth evaluation of tenure-eligible and specified-term faculty before the fourth week of their fourth semester at Richard Bland College, and tenured faculty at least every five years following immediately upon award of tenure. Tenure considerations occur in an individual's sixth year. The three criteria on which this evaluation will be based are teaching effectiveness, College service, and professional development and community service.
2. The primary responsibility for evaluation of the performance of faculty members rests with the Academic Area Coordinators and the Dean of Faculty. The Academic Area Coordinators will make the initial evaluation on the information provided by the faculty member, Student Course Evaluations, classroom observations, and other relevant information.
3. Each faculty member will see the Academic Area Coordinator's evaluation and have an opportunity to provide a written response. The Academic Area Coordinator's evaluation and the faculty member's response will be submitted to the Dean of Faculty for review. Each faculty member will see the Dean of Faculty's written comments and have an opportunity to respond in writing.

B. Annual Faculty Evaluation

All full-time faculty members must complete an annual Faculty Development Report (available at www.rbc.edu/faculty/forms). This report will detail evidence in support of the faculty member's teaching effectiveness, College service, and professional development and community service as follows:

1. Teaching Effectiveness

- a. A description of the nature and quality of the faculty member's teaching to include -- but not be limited to -- course load, updating of course presentations, innovative techniques, use of technology, helping students outside of class time, grading of papers, testing procedures, choice of textbooks, and any additional demonstrations of professional growth.
- b. A self-evaluation of student achievement of course objectives listed on the syllabus for each course.
- c. The Student Course Evaluation form administered in all courses.

2. College Service

- a. Advising

- b. Discipline and Division Responsibilities
- c. Committee Work
- d. College-wide Activities

3. Professional Development and Community Service

- a. Membership in Professional Organizations
- b. Attendance at Professional Meetings and Conferences (indicate program participation)
- c. Research and/or Publications
- d. Graduate Credits earned during this academic year
- e. Public Service – Civic and Social Services Activities, Memberships and Talks

Additional comments concerning professional development not already covered:

- f. Committee chairs will submit evaluations for faculty members on all standing committees, self-study committees, and major ad hoc committees to the faculty member in time to forward with the Report. Faculty members of other committees may request evaluations from the chairs.
- g. Faculty members may submit other information that they wish taken into consideration.

C. Procedures

1. The Academic Area Coordinators, using the Faculty Development Report and other available evidence, will write an evaluation of each faculty member. In the case of Academic Area Coordinators, the Dean of Faculty will write the evaluation. These evaluations should be narrative interpretations of the submitted information that will be helpful to the faculty members and other evaluators. The Academic Area Coordinators will rate the performance of each faculty member as follows:
 - a. Excellent
 - b. Above average
 - c. Average
 - d. Needs improvement
 - e. Needs considerable improvement
2. The criteria and weights for evaluation will generally be as follows, although in the course of a faculty member's professional growth the weights in College Service and Professional Development and Community Service may vary. (Adjustment in the twenty percent/ten percent will be initiated by the faculty member in consultation with the Academic Area Coordinators and the Dean of Faculty as the circumstance arises and before completion of the Annual Faculty Development Report):
 - a. Teaching effectiveness (70%) The evaluation will take into consideration evidence on the Faculty Development Report, Student Course Evaluations, classroom observations, and other available information.
 - b. College Service (20%) The evaluation will take into consideration evidence on the Faculty Development Report and committee chair evaluations.
 - c. Professional Development and Community Service (10%) The evaluation will take into consideration evidence on the Faculty Development Report.

3. The faculty member will be given a copy of the Academic Area Coordinator's evaluation and have an opportunity to provide a written response.
4. The Academic Area Coordinator's evaluation and the faculty member's response will be submitted to the Dean of Faculty for review. Each faculty member will be given a copy of the Dean's written comments and have an opportunity to respond in writing. Final decisions regarding salary increases will include a joint review by the Dean and the President.
5. If the Annual Faculty Evaluation identifies a pattern of deficient performance, the Dean will conduct a thorough assessment and consult with the President.

D. Procedures for Formative Review of Non-tenured Faculty

1. **Eligibility** - Non-tenured faculty (both tenure eligible and non-tenure track) will submit for evaluation a portfolio at the beginning of their third year of teaching at Richard Bland College. The purpose of the portfolio is to provide another means for the evaluation of teaching effectiveness, College service, and professional development and community service. The portfolio will cover the first two years and will be the basis both for considerations of tenure and for considerations of multi-year contracts and promotion.
2. **Submission of portfolio, which will include:**
 - A curriculum vita and a reflective essay addressing the faculty member's teaching philosophy and professional development
 - The first two faculty development reports
 - A sampling of instructor-provided materials used in each course taught during this interval, materials such as course syllabi, assignment lists, research paper assignments, reading lists, study guides, handouts, problem sets, laboratory exercises, tests, final examinations, descriptions of open education resources used, and any other course material useful to the evaluators
 - Grade distributions and Student Course Evaluations for these two years
 - A list of committee service and committee chair evaluations, a summary of activities pertaining to advising, discipline, division, and college-wide activities, and professional development and community service
 - Summary of Academic Assessment activity
3. **Evaluation -The portfolio will be evaluated by the Peer Review Committee:**
 - The Peer Review Committee will consist of senior members of each Academic Area selected by the Dean of Faculty, and will be chaired by one of the Area Coordinators selected by the Dean.
 - This committee will make all post-tenure, promotion (through the rank of associate professor) and multi-year contract recommendations.
 - The Committee will write an evaluation based on the above issues which will consist of an assessment of the issues listed above and suggestions for continuing professional growth. The evaluation will be forwarded to the appropriate area coordinator. The area coordinator will write an evaluation and forward all materials to the Dean of Faculty.

- The Dean of Faculty will write an in-depth review of the faculty member that emphasizes the anticipated long-term effect of the faculty member on Richard Bland College. The review will focus on teaching performance, productivity, and potential to excel. The review is intended to give the faculty member an indication of effectiveness and to make suggestions for continuing professional growth.
 - The Dean of Faculty will meet with the faculty member and set goals to be met for tenure, promotion, or the awarding of a multi-year contract.
- 4. Criteria for evaluations - The Peer Review Committee will address the following topics in its deliberations:**
- the faculty member's teaching load
 - the quality of the materials selected in each course, including open education resources
 - the development of each course, including use of assessment data for continuous improvement
 - the appropriateness of the intellectual tasks set by the instructor,
 - the quality of testing in each course, with an emphasis on student learning outcomes
 - the distribution of grades, if appropriate,
 - student course evaluations,
 - classroom observations (by peers, Academic Area Coordinators, and/or Dean of Faculty)
 - the quality of committee service,
 - the quality of discipline, division and College-wide activities, including advising,
 - the commitment to professional growth, and
 - the representation of Richard Bland College in the community.

VIII. ACADEMIC TENURE

Richard Bland College, a constituent college subject to the supervision, management and control of the Board of Visitors of The College of William and Mary in Virginia, accepts the principle of tenure, although under the laws of the Commonwealth it is not permitted to grant an appointment of unlimited duration. Tenure is defined by the 1940 Statement of Principles on Academic Freedom and Tenure with 1970 Interpretive Comments as “an appointment which may be terminated by the College only for adequate cause, or by retirement, or because of a bona fide reduction of staff or necessary curtailment or discontinuance of a department.” Adequate cause in faculty dismissal proceedings includes, but is not necessarily restricted to:

- demonstrated incompetence or dishonesty in teaching or research,
- substantial and manifest neglect of duty,
- personal conduct that substantially impairs the individual’s fulfillment of meeting responsibilities to the institution,
- bona fide financial exigency on the part of the College,
- discontinuance of a program or department of instruction, or
- when a discipline is not being discontinued, but student demand/enrollment does not justify retaining that number of faculty.

The burden of proof in establishing cause for dismissal rests upon the institution.

A. Tenure Eligibility

1. When a tenure-track faculty member joins the faculty of Richard Bland College, an initial, probationary appointment for a specified period begins, at the conclusion of which the appointment expires unless reappointment is offered; reappointment is also for a specified period and likewise expires unless renewed.
2. No faculty member has any rights, real or inferable, to appointment or reappointment during the probationary period.
3. A faculty member is evaluated for tenure in the fall of the sixth year of full-time employment. The Dean of the Faculty is responsible for notifying faculty members for whom a tenure review is required. Notification should be made during the spring semester preceding the review. At that time candidates should also be informed of the members of the Peer Review committee. In case a faculty member is not informed by the Dean, the member should contact the Dean concerning his eligibility.
4. In exceptional cases, early eligibility for the tenure review process may be granted by the Dean of Faculty.
5. Full-time, tenure-eligible service only, in any rank, from instructor to professor, or any combination of ranks, will count towards tenure. However, tenure will not be accorded those below the academic rank of Assistant Professor.
6. Faculty members on academic leave, with or without pay, may gain credit toward tenure or consideration for multiple-year appointments if such leave is approved by the Dean of Faculty.
7. Richard Bland College is administered under a July 1 - June 30 fiscal year. Faculty who serve a twelve-month appointment will be considered to have served a full year if they commenced duties by July 1, and faculty under academic-year appointment only if they serve the entire academic year. Fractional years of service may not be combined into one or more whole years in the computation of probationary years of service.
8. Full-time teaching/research experience at the rank of Instructor or above at any other accredited institution of higher learning will be credited towards the above tenure probationary period. The individual may be required, however, to serve a probationary period of as much as four years at Richard Bland College before tenure is granted, even if the total full-time service thereby seven years. The terms of such a probationary period will be stated at the time of initial appointment, both in the letter of offer and in the final written appointment letter.

B. Submission of Portfolio

The portfolio should include:

- the items listed above
- any other evidence bearing on the question that the candidates believe may be relevant and helpful to their case, and
- the formative review and reports. The portfolio for formative review may be submitted with revisions and updates.

C. Evaluation of Portfolio

The portfolio will be reviewed by the Peer Review Committee, which will write a review and forward recommendations to the Dean of Faculty.

D. Criteria for Evaluation

The Peer Review Committee will address the issues listed for Formative Review.

E. Permissible Reasons for Non-Renewal Non-Appointment

Permissible reasons for non-renewal of a probationary appointment or non-appointment to tenure include but are not limited to the following:

- unsatisfactory performance or lack of sufficient progress in meeting the institution's stated criteria for reappointment or award of tenure,
- qualification and performance which, although satisfactory, will not enable the institution to achieve or advance its educational objectives and standards,
- full staffing at tenure level in the areas of the candidate's principal competence or specialty,
- changes in the institution's academic program,
- budgetary constraints that make it impossible or imprudent to renew the appointment or to increase the tenure staff, and
- failure to complete educational requirements agreed upon in writing at time of hiring.

F. Conditions for the Granting of Tenure

Upon approval by the Board of Visitors, the College will give notification of tenure decisions not later than June 30 of the sixth year of full-time service.

G. Non-renewal Notice of Probationary Appointment

Written notice that a probationary appointment is not to be renewed will be given to the faculty member in advance of the expiration of appointment as follows:

1. Not later than March 1 of the first academic year of service, if the appointment expires at the end of that year; or if a one-year appointment terminates during an academic year, at least three months in advance of its termination.
2. Not later than December 15 of the second academic year of service, if the appointment expires at the end of that year.
3. At least twelve months before the expiration of an appointment after two or more years at the institution.

H. Special Considerations

Richard Bland College occupies a unique status in the Commonwealth of Virginia as the only selective, residential two-year college. Because its full-time faculty must serve in other capacities, including that of Academic Area Coordinators or Assistant/Associate Deans, they should not be caused to suffer any discrimination with regard to tenure by virtue of serving, additionally, in an administrative capacity. Such faculty performing full-time duties shall accrue credit toward tenure or multi-year appointment.

IX. PROMOTION IN RANK AND MULTI-YEAR APPOINTMENTS

Recommendations for promotion and multiple-year appointments at Richard Bland College shall be made to the Dean of Faculty by the Peer Review Committee. In all cases, the Dean, upon receipt of the Peer Review Committee's report, shall make recommendations regarding promotions and multiple year contracts to the President, whose decision is final, subject to the approval of the Board of Visitors. Though there will be consideration of promotion at the stated times in rank, promotion is not automatic upon completion of stated time in rank.

A. Guidelines for minimum requirements:

1. Instructor: A master's degree and a minimum of eighteen graduate hours in the area of instruction.
2. From Instructor to Assistant Professor: to be considered for promotion to Assistant Professor a faculty member must:
 - a. Complete two years as Instructor
 - b. Hold a Master's Degree in the field of appointment
 - c. Demonstrate performance at the college that reflects considerable promise of being a strong addition to the college in his or her Professional field
 - d. Complete a portfolio for review prior to promotion, as described above
3. From Assistant Professor to Associate Professor: to be considered for promotion to Associate Professor a faculty member must complete four years of teaching at the rank of Assistant Professor. The faculty member must also have at least six years of total college-level teaching.
4. From Associate Professor to Full Professor: to be considered for promotion to Full Professor, a faculty member must complete at least six years as Associate Professor, a minimum of twelve years of college teaching experience, and achievement of terminal degree in his or her field or sustained academic excellence in his field (significant scholarly publications). The M.F.A. can be considered as a terminal degree for faculty member whose field is theatre or studio art. The promotion, if awarded, is to take effect in the fall semester following the candidate's completion of the requirements stipulated herein and approval of the promotion committee, the administration, and the Board of Visitors.

B. Timetable for Review and Promotion

1. Last Monday in March:

The candidates and the committees are announced.
2. First Monday in April

The Dean of Faculty announces the Peer Review Committee for the following year.
3. Third Monday in September:

The candidate submits the portfolio to the Peer Review Committee. The Academic Area Coordinator submits a five-year review.
4. Third Monday in November:

The committee sends its report to the candidate. Before the Committee makes its report, at least one member of the Committee will visit an entire class meeting for each faculty member under review. If the Committee is not prepared to make a final report, additional information or documentation as necessary will be required of the candidate at this time. Before the Committee evaluation is submitted to the Academic Area Coordinator, either the faculty member or the Committee may request a meeting.

5. Third Monday in January:

The candidate submits additional information or documentation as requested to the Committee and to the Academic Area Coordinator.

6. Second Monday in February:

The committee evaluation goes to the Academic Area Coordinator.

7. Last Monday in February:

The Academic Area Coordinator makes his or her evaluation. If either the committee or the Academic Area Coordinator finds the faculty member's performance unsatisfactory, the portfolio, including evaluations, will be forwarded to the Dean of Faculty.

The faculty member will be given one week to add additional materials and a response to the committee evaluation and Academic Area Coordinator review.

8. Third Monday in March:

The Dean of Faculty makes his or her assessment.

Should the Dean of Faculty judge the faculty member's performance unsatisfactory, he or she will meet with the faculty member and form a plan of action specifying what areas need to be addressed and how performance in these areas will be judged.

9. Last Monday in March:

Next year's cycle begins.

10. First Monday in April:

The plan of action is submitted to the faculty member. The faculty member may appeal the plan and the requirements for satisfactory performance to the Faculty Affairs Committee within one week of the plan's being submitted. The Committee has two weeks to accept the Dean of Faculty's recommendations or to suggest revisions. If the Committee suggests revisions, the Dean of Faculty may accept the revisions, or send the original proposal and the suggested revisions to the President, who will make the final decision before contracts are issued.

X. SALARY INCREASES

Depending on the availability of funds, all faculty members at Richard Bland College are considered for annual salary increases. These increases will be based on merit. The Annual Faculty Evaluation serves as the basis for merit pay considerations.

XI. OUTSIDE COMPENSATED ACTIVITY

Faculty members are expected to avoid outside employment if it interferes with teaching effectiveness. Persons with full-time teaching appointments who are asked to teach part-time for other institutions or who wish to do consulting or other kinds of paid work must gain prior written permission, each semester, from the President or designee. The primary obligation of full-time faculty members and other employees is to the College. No other form of gainful employment should interfere with this commitment. Faculty members should be aware that provisions of the "State and Local Government Conflict of Interests Act" (VA. Code 2.1-639. 1 et seq.) may apply to their outside employment or consulting contracts.

XII. EMERITUS RANK

Upon recommendation of the President, members of the faculty whose performance is deemed to be meritorious will be awarded the rank of Emeritus Professor after completion of ten years of full-time, continuous service and retirement under the statutes of the Commonwealth of Virginia. All professors in the ranks of Assistant, Associate and Full Professor who receive Emeritus status will be awarded their respective emeriti ranks upon retirement. Additionally, exceptional Academic Administrators who retire and meet these criteria will be considered for Emeriti status.

XIII. FACULTY WORK LOADS

All faculty are expected to meet all assigned classes, to maintain office hours properly posted and approved by the Dean of Faculty, to attend all academic processions and convocations, and to attend all meetings of committees to which such member may be elected or assigned.

A. Full-time Faculty

1. Faculty workloads will consist of a combination of teaching, committee membership, student advising, and office hours.
 - a. Faculty will teach twelve-fifteen (12-15) credit hours and fifteen-eighteen (15-18) contact hours per semester. Each lecture hour shall equate to one (1) credit hour and one (1) contact hour; each laboratory hour shall equate to one-half (1/2) credit hour and one (1) contact hour.
 - b. Faculty will serve on one or more college committees as follows:
 - (1) Institutional, faculty, or peer-review committees: One or two.
 - (2) Ad hoc committees: As requirements for ad hoc committees arise, faculty may volunteer or will be selected on a rotational basis from a list maintained by the Dean of Faculty.
 - (3) Volunteer committees: Faculty may serve on as many or as few volunteer committees as they choose. Service on these committees will count as college service. Faculty will not be required to serve on more than four (4) institutional, faculty, peer-review, or ad hoc committees during an academic year.
 - c. Student advising: Faculty will be assigned approximately 15 students as advisees.
 - d. Full-time faculty will schedule and post five (5) office hours per week. [See below.]
2. Other faculty activities. All full-time faculty are encouraged to engage in the life of the College beyond the required workload. College service, community service, active membership on

professional associations or societies, and scholarly research contribute toward the vitality of the College and should be included in an individual's annual Faculty Development Report.

3. Unusual and/or unforeseen circumstances may require adjustments to a faculty member's workload on a short-term basis. Faculty members will be consulted before decisions are made concerning adjustments in assignments. Should workload exceed full-time assignment as defined above, the College will reduce the instructional load and/or offer additional compensation as appropriate.

B. Faculty Office Hours

Faculty members are expected to schedule and be present in their offices a minimum of five (5) office hours a week for student consultation. In addition, faculty will schedule five (5) variable hours per week for individual, small group or online student consultation, and these hours may vary depending on student needs and schedules. Alternatively, faculty may perform two (2) hours of student advising (to be scheduled in coordination with the Assistant Dean of Academic Support) in the Student Success Center in lieu of the five (5) variable office hours.

At the beginning of the semester, each faculty member will provide the Dean of Faculty a schedule of teaching and office and variable or advising hours.

C. Faculty Absence From Class

Faculty unable to meet a class or classes (e.g., illness or car trouble) will notify the appropriate area coordinator, Dean of Faculty, make an effort to notify the students and submit a Faculty/Staff Absence Request/Report.

D. Laboratory Supervision

In all laboratory situations the faculty member is responsible for the direct supervision and instruction in the laboratory. Even though student assistants are used at times, no student will be expected to take charge of or direct the laboratory.

XIV. STATEMENT OF LEAVE POLICIES

A. Annual Leave

No annual leave is accumulated by such faculty members who are provided leave during the normal College holiday periods of Fall Break, Thanksgiving, Christmas, Spring Break, and summer breaks when the College is not in session.

B. Medical Leave

In case of a serious health condition that makes the faculty member unable to perform his/her responsibilities, a Request for Medical Leave should be made in writing to the Dean of Faculty. In cases of long-term illness or excessive absences claimed for medical reasons, the Dean of Faculty may require a doctor's statement to verify the need for medical leave. If medical leave necessitates a faculty member's absence from the classroom exceeding two weeks, the Dean of Faculty or his designee will provide for classroom coverage. Faculty with continuing need for medical leave

beyond an initial semester may request consideration for a leave of absence and will be compensated as provided for in his/her long-term disability policy.

C. Educational Leave

Educational Leave Policies for all personnel--classified, faculty, and administrators--are covered under "Educational Aid for State Employees" as authorized by the State Department of Personnel and Training. Additional information and policies concerning Educational Leave are found under Faculty Development.

D. Family Leave

See Policy Manual (B.6.).

XV. FACULTY DEVELOPMENT

Richard Bland College is committed to faculty development. The College provides resources and opportunities for professional development for the full- and part-time faculty. Academic Area Coordinators are responsible for coordinating faculty development activities. Areas supported by the College include, but are not limited to, the funding of applied research designed to improve student learning outcomes, presentations at professional meetings, on-campus workshops and seminars, study leave, educational leave, and release time for special projects.

A. Faculty Travel and Participation in Professional Meetings

1. Funding for faculty travel can come from academic area budgets, the Faculty Development Program budget, the Richard Bland College Foundation, funds from grants, or from a combination of these and other sources.
2. Faculty members are encouraged, within budgetary constraints, to attend professional meetings. If classes are in session during the time of the meeting, arrangements to cover classes must be made in advance with the Academic Area Coordinator, who will in turn notify the Dean of Faculty as to the disposition of classes during the period of absence using the Faculty Absence Report Form (www.rbc.edu/faculty/forms)
3. Faculty members are required to complete travel forms prior to departure. Travel regulations are discussed in below. Complete information regarding travel regulations may be found in the Office of Finance. Faculty should review these policies before making professional travel plans or arrangements.

B. Study Leave, Study Leave Without Pay, and Educational Leave

1. Study Leave entails taking coursework full time that meets a College curricular need and that leads toward either the doctorate or eighteen graduate hours in an area of instruction, or a second master's degree, if the College needs competence in the area. Educational Leave entails any professional-development endeavor within the faculty member's academic field.
2. For Fall semester or an entire academic year, the application for study leave must be submitted by the previous December 15; for Spring semester, by the previous June 15. Approval of the application for study leave is contingent upon acceptance by the graduate school.
3. A faculty member seeking Leave will compose a letter of application to the Dean of Faculty that includes:

- a. a copy of the letter of acceptance (which may be forthcoming) signed by the proper authority, from the graduate school;
 - b. an explanation of how the anticipated coursework meets the College's curricular needs;
 - c. the dates of the Leave;
 - d. an estimate of the costs of up to full salary and possible tuition assistance involved (books are disallowed); and
 - e. other supporting data.
4. The application for Leave is submitted for review to the Dean of Faculty who will forward a recommendation to the President.
5. All full-time faculty are eligible for Leave. Not more than three faculty members will be absent from the College during the same period of time. Not more than two faculty members will be recommended from each academic area during any given selection period. In the selection process, priority will be given to:
 - a. the College's curricular needs;
 - b. the applicant closest to completion of the degree;
 - c. the applicant's contribution to the mission of the College.
6. Not later than sixty (60) days following completion of the Leave, the faculty member will file with the Dean of Faculty, with copies to the President and the appropriate Academic Area Coordinators, a written report. In the case of Study Leave, the report will include documentation from the graduate school attesting to the successful completion of the course of study. For Educational Leave, the report will include a description of how the Leave will contribute to the faculty member's teaching effectiveness.
7. Under the guidelines stated above, a full-time faculty member may apply for Study Leave Without Pay.
8. Under the same guidelines, a full-time faculty member may apply for Educational Leave, defined as a leave of absence to undertake a professional-development endeavor within the faculty member's academic field. Partial salary support is possible. A full-time faculty member is eligible to be considered for Educational Leave every seven years.
9. Full-time faculty considering Leaves are advised to refer to Academic Promotion and Rank Policies

C. Institutional Memberships

Institutional membership in national, regional, state, and local associations or organizations has the potential of benefiting all groups within the Richard Bland College community. Open channels of communication can provide information exchanges, as well as personal and professional development. There are instances when membership in an association or organization is required for certification or accreditation. It is for these reasons that Richard Bland College supports institutional participation in such associations.

To assist members of the College community in their consideration of Richard Bland College's participation in such organizations, the following as guidelines will be used in determining such participation:

1. An institutional membership shall be defined as a membership held by the institution in a professional, technical, occupational, or related organization or association.
2. The membership is held by the institution or an organizational sub-unit and not by an individual.

3. The payments for institutional memberships shall be limited to those professional, technical, occupational, or related organizations and associations that provide publications and/or services of direct benefit to Richard Bland College.
4. Even when the aforementioned criteria can be justified, the cost of membership shall be carefully weighed against other important institutional obligations and budgetary considerations.
5. Academic Area Coordinators will be responsible for recommending to the Dean of Faculty those organizational memberships they deem desirable and affordable for sub-units within their divisions. Based on budgetary considerations and institutional priorities, the Dean of Faculty will recommend approval or denial for application for membership.
6. The final decision for approving or disapproving institutional memberships rests with the President or designated representative.

D. Other Categories of Faculty Development

Many additional opportunities exist for supporting the professional development of faculty members. They include, but are not limited to:

1. release time and/or reorganized teaching schedule to take individual graduate courses;
2. release time and/or reorganized teaching schedule to pursue research and writing, including faculty who are completing graduate degrees;
3. release time to plan a new course or significantly revise an existing course;
4. release time to coordinate on-campus meetings of professional organizations;
5. release time to develop grant proposals or work on other special projects; and
6. purchase of hardware, software, or other educational supplies that discipline budgets cannot fund.

E. Applying for and Receiving Faculty Development Funding

1. For funding requests involving travel, see Travel Authorization and Reimbursement policy
2. For funding requests not involving travel, faculty should submit a written request for funding that explains why the request is being made and estimated costs. The initial request need not exceed a single page, although faculty may submit as much documentation as they wish. Should the Dean need additional information, he or she may request that this be provided before approving the funds. Within sixty (60) days of completion of the activity not involving travel, the faculty member should submit to the Academic Area Coordinator and the Dean a report describing the results of the supported activity.

XVI. ACADEMIC FACULTY MISCONDUCT

Integrity in teaching and research requires that the Faculty body pay careful attention to and resolve in an equitable manner allegations of misconduct of faculty members.

Because of variations in such factors as the kind of misconduct alleged, the seriousness of the allegations, the nature of the dispute over the facts, and the interests and involvement of other private or public institutions and agencies, the course of action that will enable the Faculty to fulfill this responsibility in the best possible manner is likely to vary from case to case.

Accordingly, the procedures set forth below permit flexibility and are designed to provide a framework that is intended to enable equitable resolution of allegations of misconduct in a wide variety of circumstances. When applying these procedures to a specific case, persons acting on behalf

of the Faculty body and others involved in the proceedings should keep in mind the following concerns:

- The importance of the Faculty's maintaining standards consistent with the highest traditions of teaching, research and with the lawful obligations of the Faculty.
- The responsibility of the Faculty to the public and to the private and public institutions and agencies with which the Faculty is affiliated or has contractual or other arrangements.
- The necessity of the Faculty's protecting the rights and reputations of all individuals, including the person who is alleged to have engaged in misconduct and the person who has made the allegation.
- The necessity of the Faculty's resolving allegations with care and objectivity, with ample opportunity for all interested parties to be heard, and as promptly as the circumstances permit.

A. Definitions

Misconduct means actions inconsistent with the Code of Ethics, College policy, applicable Federal and State law or policy, or research or other academic standards. The standard for determining whether misconduct has occurred is whether the facts provide clear and convincing evidence that a violation has occurred.

B. Procedures

1. The Dean of Faculty shall have principal responsibility for receiving and assessing a proper response to allegations of misconduct concerning faculty members. An allegation will ordinarily be made by a written statement describing the misconduct in sufficient detail to form the basis of an inquiry. To enable the Dean to meet this responsibility, all allegations of misconduct, whether initially received by an Academic Area Coordinator or other person, shall be promptly brought to the attention of the Dean (and where appropriate, the President) unless it appears that the allegation, if proven, would not rise to the level of misconduct.
2. Upon receipt of an allegation of misconduct, the Dean shall determine, after such consultation with other Offices, e.g., Human Resources, as may seem appropriate, whether the conduct described in the allegation is governed by another College policy whose procedure provides for the investigation (if appropriate) and resolution of such allegations. If another College policy or procedure is applicable, the matter will be referred to the appropriate office or individual. The Dean will inform the reporting party where the matter has been referred. When primary responsibility for resolving the allegation rests with another Office, such Office should notify the Dean of the outcome.
3. If the conduct described in the allegation, if true, rises to the level of misconduct, and no applicable College policy directs that the allegation be handled under a different procedure, the Dean shall determine whether, taking into account the nature of the allegation, it is appropriate to attempt to resolve the matter through informal processes and discussions, and shall direct the appropriate Academic Area Coordinator to undertake such efforts. Final resolution through informal means shall require the approval of the Dean.
4. If the matter is not resolved under paragraph 3, and if in the view of the Dean further proceedings are required, the Dean shall direct the appropriate Academic Area Coordinator to prepare a

statement of the allegations, identifying the applicable policy or policies the violation of which would constitute misconduct. The Dean shall provide the statement to the faculty member accused of misconduct, who shall have 10 calendar days to respond in writing to the Dean.

- a. If the accused faculty member does not dispute the facts alleged, the matter will be submitted to the Faculty Affairs Committee. The Committee shall consider the statement of allegations and the accused faculty member's response. The Committee may also seek input from the person whose report gave rise to the allegation. The Committee shall prepare a report to the Dean. In some instances, the Committee may recommend that, despite the lack of a dispute over the allegations, investigation should nonetheless occur; for example, the Committee might believe there is a lack of candor in the faculty member's response.
 - b. If there is a dispute over facts or for other good cause, the Dean, after consultation with the Chairperson of the Faculty Affairs Committee, may establish one or more panels of inquiry to investigate the allegations and submit the result of its inquiry to the Committee. In deciding upon the size and composition of the Panel, the Dean of Faculty, to help ensure competence and objectivity, shall take into account such factors as:
 - (1) the subject matter of the inquiry, including the desirability of the panel's possessing competence in a specialized area or investigative skills,
 - (2) the desirability of including on the panel persons associated with individuals who are not members of the Faculty or not associated with the College, and
 - (3) the importance of selecting people who have had no prior involvement in the subject matter of the inquiry.
5. The investigation panel shall communicate with the person whose report gave rise to the allegations, the faculty member who has been accused of misconduct, and such other individuals who, in the judgment of the investigation panel, may have information bearing on the allegations. The investigation panel shall develop a report describing the manner and scope of the investigation, and the panel's assessment of the facts relevant to the allegations. The panel should attempt to reach consensus, but the report should identify those points where consensus is not reached. The panel shall forward its report to the Chair of the Faculty Affairs Committee.
 6. The Chair of the Faculty Affairs Committee will distribute the report to members of the Committee, and to the faculty member accused of misconduct. The accused faculty member shall be given 10 calendar days in which to provide a written response to the investigation panel report. Upon receipt of the response, the Committee shall consider whether further investigation, deliberations and proceedings are appropriate or necessary. Upon the completion of such additional proceedings, the Committee shall submit its report the Dean; the Committee shall also submit a copy of the investigation panel's report and the accused faculty member's written response. The Committee will submit conclusions and, ordinarily, comments on gravity of offense, possible sanctions, and recommended steps to prevent future misconduct. The Committee shall endeavor to reach consensus on this matters, but will note in its report where consensus has not been reached.
 7. The Office of the Dean will provide a copy of the Committee's report to the accused faculty member, who shall be given 10 days in which to provide the Dean with a written response. The

Dean shall, in consultation with the President, decide the matter and take such actions as may be appropriate. Sanctions may range, for example, from a letter of censure, to probation and monitoring, to termination of appointment. In determining the appropriate sanction, the Dean shall consider: (1) the nature of the violation(s); (2) the degree to which the faculty member's conduct departs from the standard set by the policy, etc.; (3) the impact of the violation(s); and any aggravating or mitigating factors. If the decision of the Dean departs significantly from the recommendation of the Faculty Affairs Committee, the Dean shall provide in writing the reasons for such departure, and shall provide such explanation to the accused faculty member and to the Chair of the Faculty Affairs Committee.

8. The decision of the Dean, if it is consistent with the recommendation of the Faculty Affairs Committee, shall be final. If the decision of the Dean departs significantly from the recommendation of the Committee, the accused faculty member has 10 calendar days in which to appeal in writing to the President; this appeal lies whether or not the Dean has determined his or her action to depart significantly from the recommendation of the Faculty Affairs Committee. Upon receiving such appeal:
 - a. If the President determines that the decision of the Dean does not depart significantly from the recommendation of the Faculty Affairs Committee, the President shall affirm the decision, which shall be final.
 - b. If the President determines that the decision of the Dean departs significantly from the recommendation of the Faculty Affairs Committee, and that the reasons given by the Dean for the decision are sound, the President shall affirm the decision, which shall be final.
 - c. If the President determines that the decision of the Dean of Faculty departs significantly from the recommendation of the Faculty Affairs Committee, and the reasons (if any) given by the Dean do not support the decision, the President shall remand the decision for reconsideration by the Dean, and shall provide the Dean with appropriate guidance. Any such remanded decision shall, after reconsideration by the Dean, be returned to the President for review. Upon the President's approval of the reconsideration by the Dean, the decision shall be final.
9. The Dean of Faculty, in carrying out his or her responsibilities under these procedures, shall bear in mind the concerns of the Faculty, in particular:
 - the importance of care, fairness and objectivity, and of the appearance of these attributes,
 - the necessity of informing at the appropriate time other faculty and College officers, including the Chairperson of the Faculty Affairs Committee, the Academic Area Coordinator involved, and General Counsel, of the existence of allegations, and of consulting with these and other officers as resolution of allegations progresses,
 - the importance of protecting the reputations of individuals and to that end ordinarily maintaining confidentiality to the extent practicable and to the extent consistent with other obligations of the Faculty during the course of and at the conclusion of proceedings,
 - the need to protect the rights of the person alleged to have engaged in misconduct, including the right to be informed with specificity at the appropriate time of the allegations and the evidence in support of the allegations, and the need to discuss with that person the procedures to be followed,

- the need to protect the rights of individuals who, in good faith, make allegations,
- the need to make certain that the President is informed when allegations may constitute grave misconduct and that resolution of the matter proceeds with this fact in mind.

The Office of the Dean and the Faculty Affairs Committee shall maintain records of any proceedings in which they are involved in accordance with the applicable State Records Retention schedule.

XVII. FACULTY GRIEVANCE POLICY AND PROCEDURE

A. Definitions

A grievance is a complaint made by a member of the faculty concerning a decision, action, or lack of action by a person or group of persons acting in an official capacity, which directly and adversely affects the professional or personal well-being of the grievant and which can be corrected by the College. A grievant is a member of the faculty who has made a complaint that constitutes a grievance.

B. Coverage

Any full-time or part-time member of the College teaching faculty is covered under this grievance policy.

C. Non-grievable Actions

Any grievances that satisfy the definition in XXI.1 but are dealt with by their own specific policies and procedures, including an appeal process, as outlined elsewhere in the Handbook, are considered non-grievable actions. Therefore, excluded matters include the following:

- non-reappointment of non-tenured faculty
- decisions regarding the awarding or withholding of tenure
- actions of dismissal of faculty for cause or financial exigency
- actions awarding or withholding promotions
- any action related to evaluation of performance or salary adjustment
- disciplinary action taken as a consequence of a determination of racial, sexual, or other forms of discriminatory actions
- violations of college policy by individual faculty members

D. Pre-Faculty Appeals and Grievance Committee Procedure

The faculty member should first make every effort to resolve the potential grievance directly with the individual(s) involved.

E. First Filing of the Grievance

1. All grievances shall be presented as soon as possible and in no event later than ten (10) days after the occurrence of the action or event causing the grievance.
2. A faculty member with a grievance against another faculty member within his or her department shall present the grievance to the Academic Area Coordinator.

3. A faculty member with a grievance against another faculty member not in his or her department, with a grievance against his or her department chair, or with a policy or practice of the department shall present the grievance to the Dean of Faculty.
4. A faculty member with a grievance against the Dean of Faculty or another administrator shall present the grievance to the President.
5. A faculty member with a grievance against a college policy or procedure or the application thereof shall present the grievance to the President.

F. Attempt at Informal Resolution

The individual receiving the grievance shall seek to mediate a prompt and satisfactory solution of the grievance. If an allegation of discrimination or harassment is involved, the matter will be immediately referred to the AA/EEO Officer. Within ten (10) business days of receiving the grievance, the individual receiving it will schedule a first meeting with the grievant to initiate a process of informal resolution. This meeting is required. Within fifteen (15) business days from the date of that initial meeting, the grievance will either be resolved or the person receiving the grievance will determine that it cannot be resolved through informal means. In the event that informal resolution fails, the person receiving the grievance advises the grievant regarding the next step in the process (XVI.6)

G. Formal Procedures to Hear the Grievance

If the grievance of a faculty member is not resolved through the informal procedure, the faculty member may, within ten (10) business days thereafter, pursue a formal grievance procedure and request a hearing by the Academic Standards and Appeals Committee, a standing committee of the faculty whose charge is to investigate the grievance and recommend to the Dean of Faculty (or President as per XVII.E.5) a resolution.

H. Formal Request to the Academic Standards and Appeals Committee

A faculty member requesting a hearing by the Academic Standards and Appeals Committee shall present a written **statement of charges** to the Dean of Faculty; if the grievance is against the Dean of Faculty or a College policy, decision, action, then the statement of charges shall be presented to the President.

I. Statement of Charges, Preparation and Distribution

The written statement of charges submitted by the faculty member shall contain the following information and material in a form whereby multiple, legible copies may be reproduced:

1. A clear statement of facts upon which the grievance is based, including an explanation of how the faculty member alleges he or she has been adversely affected and the specific relief requested;
2. An identification of the person(s) or the College policy or procedure considered responsible for the alleged adverse condition, action, or inaction upon which the grievance is based and an explanation of why the person(s) is considered responsible or why the College policy or procedure is considered improper;

3. A copy of any pertinent Board of Visitors or College policies or regulations, Commonwealth statutes, contractual agreements or other documents of custom and practice upon which the grievant relies; and
4. A written statement prepared by each witness that the grievant would expect to call for the hearing in support of the grievance that summarizes the information or evidence that the witness would testify to at a hearing. The grievant shall also identify any witnesses believed to have relevant information who have refused to prepare a written statement or to testify at a hearing and the nature of the relevant information at issue.

J. Composition of the Academic Standards and Appeals Committee (ASAC)

The formal hearing shall be conducted by the ASAC, a standing committee of the Faculty Assembly.

1. Prior to the Dean turning the formal statement of charges over to the ASAC, both the accused faculty member and the grievant will have one opportunity to challenge the membership of the ASAC that will hear the grievance. This is the only time at which committee membership may be challenged. At this time (prior to the Dean of Faculty disseminating the statement of charges), the recusal of any member(s) of the Committee should also be determined.
2. Should the existing chair of the Committee be removed through challenge or recusal, the remaining members shall elect a new chair for the purposes of the formal hearing.

K. Procedure of the formal Committee Hearing and Distribution of Results

The chair of ASAC shall prepare and distribute a complete copy of the statement of charges to each member of the committee and to the Dean of Faculty (or President per XVII.E.5).

L. Confidentiality

It is expected that confidentiality will be maintained in the conduct of the formal committee deliberations. The mere suspicion of wrongdoing, even if totally unjustified, is potentially damaging. Information concerning any grievance proceedings must be held in strictest confidence and should be available only to those with a right or a need to know.

M. Preliminary Review and Decision

The ASAC shall, within ten (10) business days after receipt of the statement of charges, review the charges and determine whether or not the Committee will request a reply to the statement of charges. If the Committee determines by a majority vote that the charges (a) do not constitute a grievance, (b) are frivolous and/or without merit, (c) do not involve actions taken by a person in an official capacity, or (d) cannot be addressed by an official College policy or procedural remedy, then the chair of the Committee shall advise the grievant in writing of this finding with a copy provided to the Dean of Faculty (or the President as per XVII.E.5). The action of the Committee at this stage is final.

N. Request for a Reply to Statement of Charges

The ASAC requests a reply to the statement of charges for one of two reasons: (1) because additional information is required to decide if the matter is grievable, or (2) because the Committee determined

that the matter is grievable and a reply to the statement of charges is called for. If the ASAC requests a reply to the statement of charges, the chair shall advise the grievant and shall provide a complete copy of the statement of charges to each person against whom the complaint is made. If the grievance is against a departmental policy, decision, or action, rather than against the action of an individual, the department chair shall represent the department against which the grievance is made. If the grievance is against a College policy, decision, or action, rather than against the action of an individual, the appropriate Academic Area Coordinator, or the Dean of Faculty shall represent the relevant institutional unit against which the grievance is made.

O. Reply to Statement of Charges

Upon receipt of the statement of charges, the person(s) against whom or representing the unit against which the grievance is lodged shall, if he or she wishes to reply, have twenty (20) business days to present a response to the charges to the chair of the ASAC. The response must be in writing, and shall include:

1. A full statement of the position taken by the person(s)/institutional units against whom the grievance has been lodged with respect to the charge;
2. Any commentary the cited party(ies) may wish to offer concerning any of the documents contained in the statement of charges submitted by the grievant and any pertinent documents or materials which the respondent(s) relies upon; and
3. A written statement prepared by each witness that the respondent would expect to call for the hearing in response to the grievance that summarizes the information or evidence that the witness would testify to at a hearing. The respondent may also identify any witnesses believed to have relevant information who have refused to prepare a written statement or to testify at a hearing and the nature of the relevant information at issue.

Within five (5) business days after receipt of the response to the statement of charges from the party(ies) against whom the grievance has been lodged, the chair of the Committee shall have prepared and distributed to the grievant and to each member of the ASAC a complete copy of the response.

P. Review of Reply to Statement of Charges, and Decision

Within ten (10) business days of the distribution of the reply to the statement of charges, the Committee will either make a final decision or determine that a hearing should be held. Should all members of the ASAC, after reading the statement of charges and the response thereto, determine that there are sufficient grounds to recommend a remedy or a correction without conducting a full hearing, then the Committee shall by formal resolution offer its recommendation for the remedy or correction that should be taken to address the grievance. (The Committee may also recommend that no corrective action be taken.) The Committee's recommendation shall be promptly transmitted, in writing, to the parties concerned and to the Dean of Faculty (or President as per XXI.5), and the action shall be final. If the Committee determines that a hearing should be held, the chair of the ASAC shall schedule a hearing to begin no later than thirty (30) business days after the date that the Committee decided that a hearing should be held.

Q. Pre-Hearing Conference

At least ten (10) business day before the Hearing, the UFAGC will hold, with all parties present, a pre-hearing conference to define the issues involved and to resolve procedural matters for the Hearing. For instance, the Committee will inform both parties of their option to request the right to call witnesses for the Hearing. Such witnesses will be expected to submit written statements to the Committee as part of the request. The Committee may also choose to call witnesses based on its deliberations of the facts to this point.

R. Procedure for Final Hearing

The hearing shall be conducted according to the following procedures:

1. **Attendees** - The hearing shall be private, with only the parties involved, witnesses, counsel, advisers, designated observers, and members of the Committee present, except that, with mutual agreement by the grievant and the party(ies) against whom the grievance is lodged, the hearing may be public.
2. **Record of Hearing** - The full and complete Hearing shall be recorded by and for the Committee and all recordings shall be preserved until thirty business days following action by the Dean of Faculty (or the President as per XXI.5), or in the case of an appeal (see below) until final and conclusive action is taken, at which time the recordings shall be destroyed.
3. **Conduct of Hearing** - The Hearing shall be convened and conducted by the ASAC chair. Counsels, advisers, or other observers may not speak or participate; they are to silently observe the proceedings. The purpose of the Hearing is to allow the Committee to complete its work of determining a recommendation, given the charge(s) made, which may require further fact-finding through questioning of the parties or other witnesses. In principle, the facts will already have been presented in writing from both sides; the hearing provides the Committee the opportunity to clarify issues by asking questions of either or both parties and to hear from witnesses it feels the need to hear from. The Committee will afford both the grievant and the accused the opportunity to provide a brief, five-minute statement at the beginning of the Hearing, should either choose to do so, and it reserves the option of asking questions of them at that time. Either party may make a written request no less than five (5) business days in advance of the Hearing to call and interrogate witnesses, if either believes that such witnesses will bring new and important information to the Committee's attention. The reasons for the need of such witnesses must be provided in the written request, along with a statement from each witness. The Committee will rule on requests to call witnesses at least two (2) business days before the Hearing begins. The Committee will afford both the grievant and the accused the opportunity to provide a brief, five-minute statement at the conclusion of the Hearing, should either choose to do so, and it reserves the option of asking questions of them at that time.

S. Order of Hearing Activities

The general outline of a Hearing (with all possible steps included) would follow this procedure:

1. Convening of the Hearing by committee chair
2. Opening statement by grievant
3. Opening statement by respondent to the grievance

4. Questions by Committee to clarify issues raised in written materials, including witness statements, and points raised by the two opening statements
5. Witnesses called by the grievant (questions by the Committee and the respondent would follow the witness's initial responses to questions asked by the grievant)
6. Witnesses called by the respondent (questions by the Committee and the grievant would follow the witness's initial responses to questions asked by the respondent)
7. Witnesses called by the committee (questions by the grievant and the respondent would follow the witness's initial responses to questions asked by the Committee)
8. Closing statement by grievant
9. Closing statement by respondent to the grievance
10. Committee adjourns to deliberate and reach a decision

T. Decision

After all testimony has been presented, the chair of the ASAC shall recess the Hearing, and the Committee shall go into closed session to determine its findings and prepare its report and recommendations. If the grievance is against an individual faculty member and he/she is found by the committee to be responsible, recommended remedies and sanctions may include but are not limited to a letter of censure, probation and monitoring, to termination of appointment.

U. Distribution of Decision

Within ten (10) business days after the recess of the Hearing, the ASAC shall present its written report and recommendations, showing the vote of the Committee on the recommendations, to the Dean of Faculty (or the President as per XVII.E.5) and to all parties to the Hearing. The report shall provide a summary of the facts presented in the Hearing and the reasons for the recommendations of the Committee. Within ten (10) business days after receipt of the Committee's report and recommendations, the Dean of Faculty (or the President as per XVII.E.5) shall communicate, in writing, to the parties involved and to each member of the Committee, his or her acceptance or rejection, in whole or in part, of the ASAC recommendations.

V. Appeal to the President

Ordinarily the decision of the Dean of Faculty shall be final and conclusive. However, an affected party may present a request, in writing, to the President within ten (10) business days after receipt of the Dean of Faculty's decision, asking to review the record of the hearing. Within twenty (20) business days after receipt of a request from an affected party, the President will either affirm the decision of the Dean of Faculty or make additional or different determinations. The decision of the President is final.

XVIII. REVIEW OF ACADEMIC DISCIPLINES FOR THE PURPOSE OF POSSIBLE CURTAILMENT OR DISCONTINUANCE

A. Purpose

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. Input from faculty is vital during the program curtailment or discontinuance review process; however, ultimate authority over these decisions rests with the President and the Board of Visitors.

B. Guidelines

Guidelines for the Review of Academic Disciplines - Listed below are several broad areas that may be reviewed 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.

1. Mission

- a. What is the relationship of the discipline to the mission and strategic goals of Richard Bland College?

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 and productivity 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 Revenue

- 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. Comparable Disciplines and 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 by another institution or in another manner?
- c. Does the discipline have a demonstrable significant value to the area and population served by the College?
- d. Are there disciplines comparable to the one being considered for curtailment or closure offered by other institutions in Virginia?
- e. If such disciplines are offered by other institutions in Virginia, can they respond adequately to the needs of the College's service area residents?

7. 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?

8. 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 education
- c. al or fiscal alternative to discipline curtailment or closure that can be recommended?
- d. 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?

9. Procedures

The procedures detailed below will guide the review of academic disciplines for the purpose of possible curtailment or discontinuance:

- a. The Dean of Faculty shall charge the Instructional Programs/Curriculum Committee, as constituted to undertake the review of any discipline or disciplines that may fall under the purview of the provisions of this policy.
- b. The Instructional Programs/Curriculum Committee will apply the established guidelines (see above) in its review procedure, and its recommendations shall be communicated to the faculty and the Dean of Faculty.
- c. If a discipline is curtailed or discontinued because student demand/enrollment does not justify retaining that number of tenured faculty, the Dean of Faculty in consultation with the

Academic Area Coordinator in charge of the discipline shall recommend which faculty member or members should be transferred or terminated. They shall give strict consideration to such factors as academic credentials, teaching effectiveness, seniority, College and community service, and the provisions of the Equal Employment Policy available in the Office of the Dean of Faculty.

- d. A good faith effort will be made to transfer a tenured faculty member, insofar as his or her academic preparation and expertise allows, to another discipline or disciplines.
- e. In the event the tenured faculty member is deemed unqualified to fill another position at the College, he or she, at the discretion of the College, may be offered a special leave of absence of up to one half of salary (as prescribed under Faculty Development) for a period not to exceed one academic year. During that period of time the individual must be enrolled full-time in a course of study approved by the College. Upon successful completion of the College-approved course of study, the individual will be returned on a full-time basis to the institution.
- f. If the tenured faculty member is not offered a year's leave of absence or does not choose to accept it if offered by the College, a terminal appointment of one academic year will be offered to the individual.

XIX. ACADEMIC PROCEDURES AND GUIDELINES

This section is composed of administrative guidelines and directives related to the instructional process and the role of faculty at Richard Bland College.

A. General Academic Policies

General academic policies are in the Richard Bland College Policy Manual and Catalog.

B. Course Content

Richard Bland College respects the principles of academic freedom and the autonomy provided faculty in the selection of their instructional materials. However, it is the responsibility of the faculty to provide instruction that is current and consistent with the course descriptions listed in the Richard Bland College Catalog. The College is primarily a transfer institution. It is therefore the responsibility of the faculty to provide instruction consistent with the general expectations of academe.

C. Course Offerings And Schedule

In collaboration with the Dean of Enrollment Services, the Dean of Faculty will determine the final schedule, with input from Academic Area Coordinators. Courses and times of instruction will be based upon the needs of the students and the institution. Faculty are required to inform the Office of the Dean of Faculty of any change in location or time or postponement or cancellation of class, so that, if necessary, a student can be located.

D. Course Syllabi

A well-developed course syllabus that provides students with essential information about the course in which they are enrolled is required for each course offered by Richard Bland College. At the beginning of every semester, a syllabus for each course taught that semester is to be forwarded through the Academic Area Coordinators to the Office of the Dean of Faculty. For a course with

multiple sections taught by more than one faculty member, these faculty should coordinate major course expectations and requirements (Adjunct faculty should seek this information from the appropriate area coordinator). Specific information to be covered in course syllabi includes:

1. Richard Bland College Mission Statement;
2. relevant College curriculum goals and learning outcomes;
3. course prerequisites;
4. course objectives;
5. course textbooks, workbooks, supplementary texts and selected readings, and other resources;
6. office hours--minimum of five (5) scheduled hours, additional availability by appointment for advising;
7. college attendance policy;
8. treatment of late course requirements;
9. attendance at the final examination;
10. pertinent discussion in the syllabus and during the first week of class of the principles of the Richard Bland College Honor Code and the consequences of their violations. A Richard Bland College faculty member's obligation and responsibility regarding the Honor Code are not optional;
11. course requirements - nature and approximate number of course activities, projects, and examinations;
12. grading scale (e.g., 80-89% = B) and weighting of course requirements in relation to the semester grade, including percentage for class attendance and participation if so desired;
13. sufficient course work should be evaluated and returned to students before the semester's date by which to drop a course or to change from credit to audit status without academic penalty to indicate to the student his or her level of achievement.
14. dates important to the course, such as the semester's date by which to drop a course without academic penalty, dates of examinations, due dates for projects and papers, the final examination date;
15. disclaimer statement to the effect that changes can be made in the syllabus due to unforeseen circumstances. Whenever possible, faculty will contact students and the Dean of Faculty in advance of significant changes in the syllabus.

E. Class Rolls

Faculty must verify official class rolls (student name, course, section) by each semester's deadline so that total class count, grade sheets, and student directories are accurate and that, if necessary, a student can be located.

F. Final Examinations

1. Faculty should assure that all quizzes, tests, and final examinations are conducted according to the Honor Code.
2. Final examinations will be given for all scheduled academic classes. These examinations will be conducted at the established examination time. An exception is made for Lab classes – which may hold their exams during the last week of the semester – and online courses, which will conduct their exams according to the policies laid out in their syllabi.
3. Special requests regarding exceptions to these rules, such as take-home final exams must be discussed with and approved by the Dean of Faculty at the beginning of the semester in which the exam is scheduled to be given.

4. Final examinations will not normally involve take-home examinations. A special request to administer a take-home final examination must be discussed with the
5. Dean of Faculty significantly prior to the final examination period.
6. All faculty will retain a copy of each student's final examination for at least one year, in the event of a grade appeal or litigation.

G. Final Grades

Final grades should be turned in to the Office of the Registrar within forty-eight (48) hours of the examination. Final grades for Friday and Saturday classes must be received in the Office of the Registrar by 10:00 AM the following Monday.

H. Posting Grades

Official grades will be made available to students by the Office of the Registrar. Faculty electing to post grades may do so, but students may not be identified by name, social security number, student identification number, or in any other way that would conflict with the student's right to privacy.

I. Student Course Evaluations

All courses taught by Richard Bland College faculty will be evaluated each semester through Student Course Evaluations.

J. Drop/Withdrawal Policies

Students requesting to drop a course or withdraw from the College must complete the appropriate form (available in the Office of the Registrar), obtain the signature of the advisor, and a representative of the Office of Financial Aid. To avoid academic penalty, this procedure must be completed before the academic penalty/withdrawal date published in the Course Schedule for each semester. Unless a student officially drops a course or officially withdraws, a grade of "F" will appear on his or her permanent record. Students requesting to drop a course or withdraw from the College after the academic penalty deadline has passed should be referred to the Dean of Faculty.

Any exceptions to this rule must be for verifiable medical or legal circumstances and be approved by the Dean of Faculty.

K. Textbooks

- I. Purpose** - to establish procedures for ordering textbooks for the students and faculty of Richard Bland College. The policy should further serve as a reminder for the faculty to use care in selecting textbooks essential to the teaching of each class. The ever-accelerating cost of textbooks is a factor to be considered; however, texts should be selected on the basis on their quality rather than price.
 - a. Responsibilities and Related Guidelines—Textbook adoption recommendations are made by the members in the academic disciplines to the Academic Area Coordinators. The Academic Area Coordinators are responsible for seeing that book orders are sent to the Bookstore Manager by the specified dates.
 - b. The Bookstore is responsible for receiving and processing requests of textbooks to be used in courses offered at Richard Bland College.

- c. Professors needing complimentary or desk copies should request them from the publisher. Professors with duplicate copies of textbooks are urged to place extra copies on reserve in the library. Additionally, the faculty should fully utilize the comprehensive library resources available to the college community.
- d. All classes do not have to have a required textbook. They can have recommended titles, which means that the student has the option to purchase or not purchase the textbook.
- e. Each faculty member should carefully review the proposed textbook for each course taught well in advance of the semester intended for use. In evaluating such texts, faculty members are encouraged to consider comments from colleagues, students, and publishers as well as their own personal judgment regarding the desirability of the text.

2. Procedures

- a. To ensure timely delivery of textbooks, the bookstore must receive textbook orders for the summer session by April 1, for the fall semester by May 1, and for the spring semester by November 1. The reason for the early need of the book orders is the have an appropriate amount of time to acquire used books and to be able to offer a higher buyback amount to the students as early as possible.
- b. The Bookstore Manager will be responsible for overseeing any and all enrollment changes and to handle book orders accordingly.
- c. The Bookstore Manager will promptly notify the faculty member of any information received regarding delay in the shipment or the inability of a publisher to provide the textbook by a required date. The manager will assist in obtaining delayed books or substitute books by the most expedient means. Faculty members are to supply as much information as possible about each textbook, i.e. author, title, edition, publisher, paper or hardcover, etc. Faculty members should be aware that contracts with textbook publishers may be governed by provisions of the "State and Local government Conflict of Interests Act" (VA Code 2.1 – 639.1 et seq.) or may be exempt from that Act.
- d. When doubtful, the faculty member should inform the Dean of Faculty of the faculty members proposed contract with the textbook publisher so that legal advice may be obtained regarding the applicability of the Act.

L. 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 Academic Area where the course will be taught and a meeting will be held to discuss the proposal.
- 3. After the proposal has been discussed in the Academic Area, the faculty member will submit it to the Instructional Programs/Curriculum Committee.
- 4. The Instructional Programs/Curriculum 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/Curriculum Committee will approve or disapprove the proposed course and submit such recommendation to the Dean of Faculty.
- 6. The Dean of Faculty will recommend to the President either approval, with any appropriate modifications, or disapproval of the course.

M. Academic Processions

One academic procession is normally held each year – on Commencement Day. Faculty members will participate and wear appropriate academic regalia. If faculty members do not own caps, gowns, and hoods, they may rent them through the Bookstore. The President may schedule additional academic processions, as deemed necessary. Faculty participation is required. Any requests to be excused from an academic procession must be submitted in writing to the President for review and approval.

N. Policies and Procedures Affecting Consensual Amorous Relationships

1. The appearance of a compromising conflict of interest or of coercion, favoritism or bias in educational or academic evaluation is prejudicial to the interests of Richard Bland College, its members, and the public interest that it serves. Amorous relationships between faculty members and students are strictly prohibited. For purposes of this policy, “faculty” shall include all full-time or part-time College personnel who teach, and administrators with faculty status.
2. Members of the College community who believe themselves to be affected adversely by a violation of this policy may initiate a complaint with the appropriate Academic Area Coordinators. A complaint alleging that an Academic Area Coordinator or an administrator has violated this policy may be filed with the Dean of Faculty or other appropriate College Officer. Complaints should be filed within ten (10) calendar days of the time at which the complainant becomes aware of an alleged violation, but not more than one year after the alleged violation.
3. Failure of members of the College community to comply with the foregoing policy shall be handled in accordance with the provisions for allegations of misconduct described in the Faculty Handbook, including the procedural guarantees therein outlined. (See XVI.)

XX. IMPLEMENTATION

BOARD OF VISITORS AUTHORITY - Nothing in the Faculty Handbook is intended to limit the Board of Visitors as the final institutional authority for the College.

EFFECTIVE DATE - This Handbook shall become effective at the time of its approval by the Board of Visitors or, to the extent the Board’s approval is not required, at the time of its approval by the President.

REPEAL - This February 2016 Richard Bland College Faculty Handbook repeals and supersedes the previous Faculty Handbook and other pertinent documents.

**RICHARD BLAND COLLEGE
MODIFICATIONS TO THE POLICY MANUAL
WITH REGARD TO ADMINISTRATIVE AND PROFESSIONAL EMPLOYEES**

During the April 24, 2015, Board of Visitors meeting, the Richard Bland College Policy Manual was approved with the adoption of Resolution 1.

The following additional policies have been developed, intended to supplement the Policy Manual as approved:

- Policy B.7. Designation, Appointment and Termination of Administrative and Professional Employees
- Policy B.8. Recruitment and Hiring of Administrative and Professional Employees
- Policy B.9. Performance Evaluation of Administrative and Professional Employees
- Policy B.10. Grievance Procedure for Administrative and Professional Employees
- Policy B.11. Leave without Pay for Faculty, and for Administrative and Professional Employees

University Counsel has reviewed these additional policies and recommends their inclusion in the Policy Manual.

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 with regard to Administrative and Professional Employees 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 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 FINALLY RESOLVED, That the Board delegates to the President of Richard Bland College the authority to interpret, amend, supplement, and redact the Richard Bland College Policy Manual, and to further delegate this authority as appropriate.

Policy B.7.**Policy Name: Designation, Appointment and Termination of Administrative and Professional (AP) Employees****Responsibility for Maintenance: Director of Human Resources and Compliance****I. Policy Statement**

Administrative and Professional (AP) employee positions manage a division or subdivision of a major academic or administrative unit. Typically, AP positions: (1) require a high level of knowledge, discretion, independent judgment, and advanced education and/or prolonged, specialized experience; (2) are exempt employees under the provisions of the Fair Labor Standards Act (FLSA), and therefore not subject to the FLSA provisions governing the payment of overtime; and (3) report directly, or through one other person, to the President. Examples of such positions are: the heads of units such as student life, athletics, human resources, public safety, information technology, and property management. AP employees are appointed by the President as at-will employees or, in some instances, for a specified or otherwise restricted (as by funding source) term.

A. Designation

This policy applies to all newly-created or modified positions.

Pursuant to The Restructured Higher Education Financial and Administrative Operations Act, Chapter 4.10 of Title 23 of the Code of Virginia, the Board of Visitors of The College of William and Mary in Virginia is charged with establishing policies for the designation of administrative and professional faculty positions at the College. Such designations are to be reserved for "positions that require a high level of administrative independence, responsibility, and oversight within the organization or specialized expertise within a given field." This policy provides guidance for, and authorizes, the President to designate AP positions in accordance with procedures set forth herein.

B. Appointments

AP employees are generally employed through at-will appointments. Restricted or specified-term appointments may be used in certain circumstances outlined elsewhere in this policy. AP employees are subject to involuntary separation for budgetary or operational reasons, as set forth in this policy, and may also be terminated for cause, including unsatisfactory performance.

1. Probationary Status - The terms and conditions of employment require that AP employees serve a 12-month probation period, except for those hired for a specified-term who do not serve a probation period.

2. Restricted Appointments

Restricted appointments are positions that are funded through sponsored contracts or grants. Restricted appointments terminate upon the expiration of the supporting funding source. The position may be continued if an additional funding source, such as a subsequent grant, is available. No additional notice beyond the termination date of the sponsored program or grant is required for the employment to end.

3. Specified-term Appointments

Certain AP appointments may be hired for a specified period or project. Such employees may include those employed in the Athletics Department. These specified-term appointments do not renew automatically, and terminate on the date specified with no notice or other action required unless otherwise specified.

4. Reassignments

The President has complete discretion to reassign administrative duties and titles at any time. For example, an AP employee may be reassigned to work in a different department or office, or under a different supervisor. If the AP employee has a specified-term contract, the employee's salary will not be reduced as the result of a reassignment. If the employee does not have a specified-term contract, the employee's salary may be reduced only if the employee's salary is out of alignment with comparable positions within the unit or College. Any salary increase or decrease as the result of a reassignment must be reviewed by the Director of Human Resources and Compliance, and approved by the President.

C. Termination and Other Forms of Involuntary Separation and Reduction; Certain Amicable Separation Agreements**1. Abolition or Reduction of Position for Operational Reasons**

An AP position may be eliminated or reduced (changed from full-time to part-time, made seasonal, etc.) if the College determines that the services being performed are no longer required or can be reduced. This determination may be made at the College's discretion for operational reasons.

A position may be abolished or reduced at any time provided that the affected AP employee is given written notice at least 90 days prior to the effective date. If the position is reduced in scope, the AP employee may decline to continue in the position. If the AP employee declines, it is still considered an involuntary separation eligible for severance. The notice will specify the severance benefits for which the AP employee is eligible. Unless otherwise negotiated, an employee is expected to perform his or her duties during the notice period.

If the AP position being abolished or reduced is one for which the incumbent has a specified-term appointment, the College and the employee may renegotiate the terms of the specified-term contract. In the absence of a renegotiated contract, the College will pay the AP employee severance in the amount of gross salary remaining under the specified-term appointment, subject to such withholding as may be required.

2. Termination or Reduction of Position for Budgetary Reasons

Inadequate funding or other fiscal constraints can result in termination or reduction of a position(s) by the College at its discretion. In implementing reduction and terminations necessitated by inadequate funding, the College will give due consideration to the effect of a position on the College's mission and the need for efficient use of available resources.

A position may be terminated or reduced at any time provided that the affected AP employee is given written notice at least 90 days prior to the effective date of the termination or reduction. The notice will specify the severance benefits for which the professional is eligible. Unless otherwise negotiated, an employee is expected to perform his or her duties during the notice period. If the position is reduced in scope for budgetary reasons, the AP employee may decline to continue in the position. If the AP employee declines, it is still an involuntary separation eligible for severance.

If the AP position being abolished or reduced is one for which the incumbent has a specified-term appointment, the College and the employee may renegotiate the terms of the specified-term contract. In the absence of a renegotiated contract, the College will pay the AP employee severance in the amount of gross salary remaining under the specified-term appointment, subject to such withholding as may be required.

3. Termination for Cause

An AP employee may be terminated for cause. Termination for cause is for serious, willful, or repeated misconduct, or deficiencies in performance such as:

- a. Unethical conduct or dishonesty, including falsification of credentials or records, and misappropriation or misuse of College funds or property;
- b. Serious, knowing, or repeated violation of policy or law;
- c. Malfeasance;
- d. Serious or repeated insubordination;
- e. Inappropriate behavior that adversely affects College operations;
- f. Convicted criminal conduct occurring: (i) on the job; or (ii) off the job, if plainly related to or affected job performance, detrimental to the College's reputation, or of such a nature that retention of the employee would be negligent in light of the College's duties to itself, the public, students, or other employees;

- g. Inability, unwillingness, or refusal to perform functions of the job, including job abandonment; and
- h. Unsatisfactory performance in accordance with the applicable College policy on performance planning and evaluation for professionals and professional faculty.
- i. An AP employee may be discharged for cause at any time. AP employees who are removed for cause are not eligible for severance benefits.

4. Negotiated Separations

The College, at its discretion and as an alternative to other methods of termination, may negotiate separation agreements with AP employees. Such agreements may be used where unsuccessful job matches, irresolvable conflicts or other circumstances lead the parties to agree that a negotiated end to the employment relationship is in the parties' best interest.

5. Access to Grievance Process

AP employees who have been terminated under section C of this policy have access to the College's grievance procedure for AP employees. The grievance procedure is not available to AP employees who agree to a negotiated separation.

6. Resignation

AP employees who resign must do so in writing, delivered to the President. Such notice should provide at least 30 days' notice before the effective date of the resignation.

II. Reason for Policy

The purpose of this policy is to describe the conditions and procedures for the designation, appointment and termination of AP employees.

III. Applicability of the Policy

This policy applies to the College's AP employees.

IV. Related Documents

Policy B.10: Grievance Procedure for AP Employees

V. Contacts

Policy Name	Office	Title	Telephone Number	Email
Designation, Appointment and Termination of Administrative and Professional (AP) Employees	Human Resources and Compliance	Director of Human Resources and Compliance	(804)862-6100 ext 6208	dbell@rbc.edu

VI. Definitions

[NONE]

VII. Procedures

A. Procedures for Designation of AP Personnel

The proponent for a new or modified AP position or modification shall develop: (1) a draft position description or modification; (2) justification for the new or changed position; and (3) a written explanation of the reasons the new or modified position appears to be an AP position. The proponent shall submit the documents through any supervisor, up to but not including the President, to the Director of Human Resources and Compliance. The Director of Human Resources and Compliance shall review the submission. If the Director of Human Resources and Compliance agrees that the position qualifies as an AP position, the Director will forward the recommendation to the President. If the Director does not agree that the position qualifies as an AP position, the Director will so notify the employee who submitted the proposal.

B. Procedures for Termination for Cause

The President will send the AP employee written notice of the College's intent to terminate. The notice will: (1) describe the conduct of the employee believed to form the basis for the termination for cause; (2) specify how the actions constitute cause within the meaning of the policy; and (3) specify a deadline for the employee's written response, which must be at least five working days after the date of the notice. The employee may be placed on paid administrative leave pending the termination date, at the College's discretion.

Policy B.8.**Policy Name: Recruitment and Hiring of Administrative and Professional Employees****Responsibility for Maintenance: Director of Human Resources and Compliance****I. Policy Statement**

The College is committed to hiring the most qualified person for each position while ensuring equal employment opportunity to all qualified individuals. The policy provides guidelines for an efficient and competitive hiring process for AP employees that produces the highest quality applicant pools and promotes equal employment opportunity.

II. Reason for Policy

The purpose of this policy is to provide guidelines for an efficient, consistent and competitive hiring process that promotes equal employment opportunity and a highly effective AP workforce. In addition, this policy provides information regarding general employment hiring procedures, onboarding and orientation for employees in one consolidated place.

III. Applicability of the Policy

This policy describes the employment hiring procedures, orientation and onboarding process for all Administrative and Professional employees. This policy does not apply to the temporary designation of an individual to fill a vacant AP position as an "acting" or "interim" employee. Such temporary designation must be accompanied by the initiation of the process outlined in this policy.

IV. Related Documents

Hiring of classified employees is governed by the Commonwealth of Virginia Department of Human Resource Management Policy 2.10.

http://www.dhrm.virginia.gov/docs/default-source/hrpolicy/pol2_10hiring.pdf?sfvrsn=2

V. Contacts

Policy Name	Office	Title	Telephone Number	Email
Recruitment and Hiring of Administrative and Professional Employees	Human Resources and Compliance	Director of Human Resources and Compliance	(804)862-6100 ext 6208	dbell@rbc.edu

VI. Definitions

"Administrative and Professional employees" hold those positions identified as Administrative and Professional in accordance with Policy XXX "Designation of Administrative and Professional Employees."

VII. Procedures

For a newly created position or vacancy, the steps below are provided for the Hiring Manager's utilization. Note: The Director of Human Resources and Compliance will guide you through these steps and welcomes the opportunity for discussion.

A. Position Vacancy Advertisement Approval Process

1. All requests for new positions and replacement positions are required to be authorized by the President prior to:
 - a. The advertisement of any position,
 - b. Any interviews being conducted, and
 - c. Any offers of employment are made.
2. To initiate the search process for full-time, part-time and temporary positions, please:
 - a. Complete a Request to Hire Form (Form#1 TBD).
 - b. Provide an up-to-date position description to the Director of Human Resources and Compliance.
 - c. Receive confirmation from the Chief Finance Officer regarding budgetary authorization for the position and/or proposed salary rate.
3. If the authorization to hire is approved, the Director of Human Resources and Compliance will partner with you to create a job posting and recruitment plan. Please note: College vacancies will always be advertised on the Virginia Employment Commission's employment page for a minimum of five (5) days.
Note: If employment-related housing in the dorms is being considered, please share this information with the Resident Director and the Director of Property Management.

B. Interview Process

Before a search begins, all those who will be involved in the selection process, and all those who will have contact with applicants for employment, are asked to carefully review and use the HR New Hire Position Vacancy Checklist (Form#2 TBD) as a guide, along with the Guidelines for Conducting Effective Interviews (Form#3 & web link TBD) and the College's Equal Employment Opportunity policy (web link TBD). Any member of the selection/search committee (minimum of 3 panel members) who has not had prior interview skills training is encouraged to schedule a meeting with the Director of Human Resources and Compliance.

1. Identify Candidates. The Hiring Manager/Search Committee will review the pre-screened resumes and determine candidates to interview on the basis of alignment with the required qualifications outlined in the job description and posting.
2. Conduct interviews. Generally, a minimum of 3 applicants should be interviewed for a position. Initial phone interviews or email screenings may be conducted to help determine candidates to invite for campus interviews. The Hiring Manager/Search Committee will notify the Director of Human Resources & Compliance of applicants who have accepted an invitation to interview.
3. Travel Expenses. The College pays reasonable and necessary search expenses. Prior approval is required for candidates who require travel accommodations; these requests will be reviewed on a case-by-case basis.

C. Selection Process

1. Check and document the references of candidates interviewed using the Reference Check Form (Form#4 TBD). The candidate is to be notified, in advance, that current and former employers will be contacted for a professional reference. The candidate's permission must be secured before contacting a current employer. Forward documentation of reference checks to the Human Resources Specialist (Employee Relations).
2. Once a candidate is selected for a job offer, document the reasons for the selection decision using the New Hire Documentation Form (Form#5 TBD) and forward the document to the Human Resources Specialist (Employee Relations).
3. Prior to making any offer of employment:
 - a. Consult with the President to receive approval and to validate whether the Hiring Manager or the President will extend the offer
 - b. Consult with the Chief Finance Officer to revalidate budgetary allowance and to determine a starting salary
 - c. Consult with Human Resources to determine a hire date for the lead candidate (in accordance with required payroll actions). It is the policy of the College that all new members of the professional staff must successfully complete a background check prior to the start of employment. Human Resources and Compliance works directly with Campus Security to facilitate the conduct of various background and credential checks, depending upon the position being hired.
 - d. Returning employees who have a break in service longer than 6 months must also successfully complete a background check before rejoining the College.
 - e. Extend the verbal job offer to the lead candidate. In all offers of employment, it must be stated that the offer is contingent upon the successful completion of background checks and verification of credentials.

D. Candidate Notifications

Upon candidate acceptance of the offer of employment, each internal applicant (i.e., current College employee) who applied but will not be offered the position should be promptly notified, whether or not an interview was granted. Notify any College alums who applied but will not be offered the position (whether or not interviewed) and any other candidates who were interviewed but will not be offered the position. Human Resources will notify all other individuals who applied for the position.

E. Appointments and Exceptions to Normal Searches

Rare circumstances may be identified whereby the President may appoint a faculty member or administrator, for a limited and clearly specified time, to an existing vacant position without a normal search.

The following exceptions to a full search are covered by this policy.

1. **Uniquely Qualified Professional.** Appoint a professional who would enhance the organization because of a unique set of professional skills that are rarely duplicated, or that meet particular special needs of the College.
2. **Reorganization.** As a result of a documented and strategic reorganization plan, employees may be reassigned to different or newly created positions. Automatic reassignments should not be taken for granted if they limit the opportunity of other qualified candidates to compete for the position.
3. **Urgent/Emergency Appointment.** Temporary appointment of a qualified individual due to a critical timing issue, such as the illness, injury or sudden death of a faculty or staff member, an inopportune resignation that created a vacancy— i.e. beginning of semester—, or similar unanticipated needs.

F. Onboarding and Orientation Processes

Upon completion of the candidate interview, selection, notification and acceptance processes, the Human Resources Specialist (Employee Relations) will send a "Welcome to RBC" email packet that includes the new hire's appointment information (position, salary, date of hire) and the necessary steps to accomplish the pre-employment process (background check, education verification).

Human Resources will keep the hiring manager copied on all communications with the new hire. **Please note:** If the new hire fails to return the requested documents or perform required steps in the new hire process, the start date may be delayed.

New hires must participate in the On-Boarding and Orientation program (web link TBD). Based on federal regulations, **all new hires, including temporary employees, must report to New Employee Orientation (NEO) within their first three days of employment.** Hiring Managers are highly encouraged to use the Manager's New Hire Checklist (Form #7 TBD) as a guide for the successful onboarding and orientation of a new employee, and also to send out a notice regarding a "meet and greet" session for colleagues to introduce themselves to the new employee.

Policy B.9.

Policy Name: Performance Evaluation of Administrative and Professional Employees

Responsibility for Maintenance: Director of Human Resources and Compliance

I. Policy Statement

This policy establishes a system for: (1) setting performance goals and objectives as well as career development goals; (2) monitoring employee progress, providing constructive feedback and evaluating performance; and (3) aligning performance plans with the College's mission and strategic goals, as well as budget, IT initiatives and operational priorities.

II. Reason for Policy

The purpose of this policy is to establish a method for the evaluation of Administrative and Professional (AP) employees.

III. Applicability of the Policy

Administrative and Professional (AP) employees shall be subject to formal and periodic evaluations of their administrative performance.

Written performance evaluations of administrative and professional faculty shall be conducted, and pay increases shall be based on an objective analysis of the performance of each individual.

Annual reviews of all administrators below the level of President will use the Richard Bland College Self-Evaluation Form to conduct a self-assessment. Supervisors will consider the self-assessment, as well as progress toward operational plan goals, and overall performance of duties as established in the position description for the job title.

All affected AP employees whose beginning date of employment is no later than February 15 of the year being reviewed must complete a self-evaluation no later than April 1st of the fiscal year (July 1 – June 30) being reviewed.

IV. Related Documents

- Annual Performance Evaluation – Administrative Staff (HR form)
- Self-Evaluation (HR form)
- Annual Administrative Performance Evaluation Schedule (HR form)

V. Contacts

Policy Name	Office	Title	Telephone Number	Email
Performance and Evaluation of Administrative and Professional Employees	Human Resources and Compliance	Director of Human Resources and Compliance	(804)862-6100 ext 6208	dbell@rbc.edu

VI. Definitions

Upon completion of the performance review process, supervisors assign one of the following performance ratings to AP employees. Each rating is defined below:

A. Consistently Exceeds Performance Expectations

1. Demonstrates exceptional quality of work in all essential areas of responsibility
2. Always makes an exceptional or unique contribution in achievement of unit, department, and college objectives

B. Frequently Exceeds Performance Expectations

1. Always achieves performance expectations and frequently exceeds them
2. Demonstrates performance of a very high level of quality
3. Significantly contributes to the success of the services and projects they support

C. Performance Expectations Fulfilled

1. Consistently fulfills performance expectations and periodically may exceed them
2. Work is of high quality in all significant areas of responsibility
3. Any performance concerns are resolved through coaching, feedback, and self-initiative

D. Inconsistently Fulfills Performance Expectations

1. The employee's work does not consistently meet the most basic job requirements of the position. While the employee may have performed acceptably in some areas, overall job performance needs to be improved
2. A performance improvement plan may be discussed and agreed to by the employee and the supervisor
3. Failure to demonstrate improvement may result in additional action

E. Fails to Meet Performance Expectations

1. The employee's work is below the basic requirements and immediate and continued improvement is required
2. A performance improvement plan is to be discussed and agreed to by the employee and the supervisor
3. Continued failure to show improvement may result in additional action

VII. Procedures

A. Roles and Responsibilities

1. Employee
 - a. Participates with supervisor in the development of annual operational goals and professional development goals, , and makes suggestions for revising goals as necessary during the performance year;
 - b. Has a clear understanding of supervisor's expectations and requests clarification if necessary;
 - c. Manages own performance to achieve annual operational goals, bringing to supervisor's attention circumstances that may affect their achievement;
 - d. Seeks performance feedback from supervisor during tri-annual performance reviews, or as needed;
 - e. Fully participates in performance discussions during tri-annual review meetings and during the annual performance evaluation meeting; and
 - f. Addresses aspects of performance identified as needing improvement.
2. Supervisor
 - a. Seeks input from employee regarding individual annual operational goals and professional development goals;
 - b. Monitors employee performance during the performance year and communicates with employee on an ongoing basis about performance;
 - c. Holds interim discussions in the form of tri-annual reviews in November, January and April about performance with each employee; documents the discussion where appropriate;
 - d. Addresses instances of poor performance or other significant performance issues in a timely manner;
 - e. If appropriate, seeks feedback concerning employee performance from internal and external sources, including external peers, team members, coworkers, stakeholders, or others;
 - f. Assists employees whose performance has been identified as needing improvement in one or more aspects to make the necessary improvement;
 - g. Prepares annual performance evaluations, ensuring that all significant performance issues are documented; and

- h. Meets with employees individually to discuss their evaluations and development needs.
- 3. Human Resources
 - a. Provide for the training needed to increase supervisors' effectiveness in performance management and evaluation;
 - b. Ensure that all supervisors are knowledgeable about the processes and requirements of this policy and abide by it.
 - c. Support employees and their supervisors in the performance management process; and
 - d. Maintain up-to-date forms, files and records.

B. Performance Planning

1. Planning

At the beginning of the performance cycle (July-September), the employee, with input from the supervisor, will develop an operational/performance plan that includes measurable, target goals for the year. Employees will also review their position description for accuracy. While based on the employee's job duties as stipulated in the position description and the long-term master plan goals of the unit, operational/performance plan goals will reflect measurable goals for the coming year, including those that support the College's strategic plan. The operational goals for the unit should be prioritized by the supervisor and entered into TK-20.

While the plan will establish the goals, objectives, and performance necessary to achieve the satisfactory level, supervisors and employees are encouraged to discuss the opportunity and effort needed to achieve higher performance levels.

Supervisors will finalize their unit's operational/performance plans for the upcoming year within 90 days of the new performance year and will meet individually with each employee under their supervision to discuss the final operational/performance plans and expectations.

An operational/performance plan for new employees must be established within 30 days of their start date. For employees whose start date is after March 1 of a given performance year, a performance plan will be established for the next performance year.

2. Methods and Documentation

In accordance with guidance from the Director of Human Resources and Compliance, the supervisor will inform the employee at the beginning of the operational/performance year of the primary methods or bases the

supervisor will use in evaluating the employee's performance for the upcoming year.

C. During the Performance Year

If during the performance year there are significant changes to the employee's core responsibilities, the employee and supervisor will review the operational/performance plan and revise as needed. If the supervisor changes during the performance period, the departing supervisor will complete a written interim performance evaluation of the employee, unless the supervisor is departing less than 90 days following the employee's most recent annual performance evaluation or tri-annual performance evaluation.

D. Performance Evaluation

1. Schedule

Employee performance is formally evaluated at the end of each performance year, by the deadline established in the Performance Evaluation Schedule, which is maintained by the Director of Human Resources and Compliance. Typically, the performance year is July 1 - June 30, but the Director may establish an alternate performance year if it is more suitable to the nature of the position. Employees who began work after March 1 of a performance year will not receive a formal performance evaluation for that performance year.

2. Process and Documentation

The performance evaluation should be completed using guidance from and forms provided by the Director of Human Resources and Compliance. In addition, the supervisor must provide the employee with an opportunity to complete a self-assessment based on his or her performance plan.

The supervisor is responsible for ensuring consistent and appropriate application of the evaluation process and for ensuring that the documents are included in the employee's official personnel file.

The supervisor will give the employee a copy of the final performance evaluation prior to meeting individually with the employee to discuss it.

Supervisors who rate an employee's performance as *Inconsistently Fulfills Performance Expectations* must provide guidance and, where appropriate, training to improve performance. Supervisors will provide both the employee and the Director of the Human Resources and Compliance with documentation of the guidance given, and of the training to be completed. The employee who is assigned such training shall provide the supervisor

and the Director of Human Resources and Compliance documentation of its completion.

Supervisors who rate an employee's performance as or *Fails to Meet Performance Expectations* must, in consultation with the Director of Human Resources and Compliance, develop a performance improvement plan. The supervisor will re-evaluate the employee three months after the development of the performance improvement plan, to determine whether performance has improved. Employees whose performance continues to be unsatisfactory at the end of the re-evaluation period are subject to termination for cause. (See Policy B.7 – Designation, Appointment and Termination of Administrative and Professional Employees)

E. Appealing Performance Evaluations

An employee who disagrees with his or her performance evaluation should discuss the issue with the supervisor and, within ten (10) business days of having received the evaluation, may request that it be reconsidered. The supervisor may decline to reconsider the evaluation, or may reconsider it and either affirm or revise the original evaluation; such action must be taken within ten (10) business days of the employee's request for reconsideration.

Deadlines described above may be extended to accommodate vacations, absences, or other reasonable delays.

Policy B.10.**Policy Name: Grievance Procedure for Administrative and Professional Employees****Responsibility for Maintenance: Director of Human Resources and Compliance****I. Policy Statement**

It is the policy of the College to provide an environment where employees can raise and seek resolution to employment-related concerns and complaints, openly discussing them with supervisors without fear of intimidation or retaliation. The College promotes informal, timely, and efficient resolution of employment concerns and complaints by encouraging Administrative and Professional (AP) employees to discuss these matters and to address concerns as they are raised. The College also provides this process to ensure that complaints that rise to the level of a grievance are given thoughtful consideration and fair treatment.

The College does not tolerate any form of retaliation against an employee who has filed a grievance or assisted another employee who is filing a grievance. Employees will not be penalized or disciplined for raising employment-related concerns, complaints, or grievances in good faith, or for assisting another employee who is filing a grievance.

II. Reason for Policy

This policy establishes a process by which AP employees may have concerns or complaints related to their employment addressed.

III. Applicability of the Policy

This policy applies to the College's AP employees and their supervisors. This policy does not apply to employment-related issues that are governed by other policies that provide a means of addressing violations, such as Policy D.1 - Discrimination, Harassment, Sexual Misconduct, and Retaliation.

IV. Related Documents

NONE

V. Contacts

Policy Name	Office	Title	Telephone Number	Email
Grievance Procedure for Administrative and Professional Employees	Human Resources and Compliance	Director of Human Resources and Compliance	(804)862-6100 ext 6208	dbell@rbc.edu

VI. Definitions

"Grievance" means a complaint made by an employee about a decision, action, lack of action, or the application of a College policy that directly and adversely affects the work activity or professional well-being of the employee, and which can be remedied by the College.

VII. Procedures**A. Informal Resolution**

An employee who has an employment-related concern or complaint is encouraged to discuss it with his or her supervisor as soon as practicable, and in the spirit of problem solving. If the employee's immediate supervisor is the subject of cause of the complaint, the employee may request a meeting with the immediate supervisor's manager. The employee should be mindful of the need for timely airing of the complaint as well as deadlines related to the filing of a grievance, should they become relevant.

Although informal resolution does not require documentation, employees are encouraged to consider the information requirements set out below, and provide the supervisor with the background and details needed to resolve the matter.

If no resolution is reached through informal channels, the employee may:
(1) ask the assistance of the Director of Human Resources and Compliance in mediating a resolution; or (2) file a formal grievance.

B. Mediation

Mediation is an alternative for resolving employment-related issues. Mediation is a voluntary process through which a neutral third party assists people in conflict to explore their differences and develop their own solutions to these issues. A decision to mediate does not prevent an employee from initiating grievance. Where the parties have agreed to mediate, the time requirements of the grievance procedure may be extended by mutual agreement. The Director of Human Resources and Compliance will coordinate the mediation.

C. Grievance Process

Exclusions: Although many complaints can be handled under this policy, the following issues can be grieved through the process outlined below only to the extent the decision, action, or lack of action is arbitrary or capricious, or involves an alleged violation of College policy or applicable law:

- Reorganization;
- Reassignment of duties;
- Non-renewal of contract;
- Performance evaluation;
- Denial of promotion;
- Compensation matters or benefits;
- The contents of established policies, rules, procedures, regulations, ordinance, and statutes;
- Work activity accepted by an employee as a condition of employment or that reasonably may be expected to be a duty of the job; or
- Relief of employees from duties in emergencies.

The following process is designed to provide a formal structure for handling a grievable complaint. AP employees and supervisors are encouraged to seek amicable resolution at any time during this process.

1. Level One: If the employee has a concern or complaint that qualifies as a grievance, and which was not or could not be resolved to his or her satisfaction through the informal process, the employee may submit a written statement of the grievance. The employee will submit the grievance to the supervisor or, if the supervisor is the subject of the grievance, to the supervisor's manager. If informal resolution was used, the employee must submit the written grievance within ten business days of receiving the supervisor's (or the supervisor's manager's) response. If informal resolution is not used, the written grievance should be filed no later than thirty days after the decision or action being grieved occurred or the employee becomes aware of the decision or action.
 - a. The employee will provide the following information in the written grievance:
 - i. The issue being grieved, including a clear statement of the facts upon which the complaint is based;
 - ii. Any documentary or other evidence in the employee's possession, a list or description of requested records the employee believes pertinent to the grievance;
 - iii. An explanation of how the employee has been adversely affected;
 - iv. A copy of any pertinent College policies, contractual agreements, or other documents upon which the employee relies; and
 - v. A statement of the specific relief sought.

This information will constitute the grievance file. Failure to submit this information may result in the complaint being found non-grievable.

- b. Within ten business days of receiving the grievance (except as provided below), the supervisor (or the supervisor's manager, as appropriate) will provide the employee with a written response indicating either that:
- i. The supervisor has determined that the grievance has no merit or is not grievable, and the relief sought is denied. The supervisor will indicate the reasons for the determination; or
 - ii. The supervisor has determined that the grievance has merit, the relief to be granted (which may differ from the relief requested by the employee) and the reasons for this determination. If the relief is beyond the authority of the supervisor to provide, the supervisor will notify the employee that further administrative approvals are necessary, and will consult with the appropriate College officers or other parties. Additional time will be required in these instances. The supervisor, with input from the employee, will establish a reasonable time by which the relief granted is in place.

If the written response of the supervisor (or the supervisor's manager) is satisfactory to the employee, the employee will provide written notification to indicate conclusion of the grievance. If not, or if the relief granted is not provided by the established time, the employee may proceed to the next level. If the supervisor is the President, or if the grievance was against the supervisor and the President performed the role of the supervisor under the Level One process, the President's decision on the grievance is final.

2. Level Two: If the employee is not satisfied with the resolution at Level One, and the President has not already decided the grievance, the employee may advance the grievance to the President. Using the original grievance form, the employee will describe his or her dissatisfaction with the Level One resolution, provide any new, relevant information the employee wants the President to consider, and forward it to the President along with the rest of the grievance file within ten business days of receiving the written response from the supervisor.

The President will meet with the employee within ten business days following receipt of the grievance form. The President may request the employee's supervisor to be present. The employee, similarly, may bring an observer of his or her choosing from among the College's employees.

The President may conclude that the issue is not grievable, which decision is final; or may make a determination on the merits. The

President will communicate the decision in writing to the employee within ten business days of their meeting, except as provided below. If the President makes a decision on the merits and decides in favor of the employee, the President will also indicate the relief to be provided, as well as a reasonable time for it to be provided. The decision of the President is final.

3. Any deadline may be extended by the Director of Human Resources and Compliance for reason of absence due to vacation, illness, business travel, or other reasonable cause.

Policy B.11.**Policy Name: Leave without Pay for Faculty, and for Administrative and Professional Employees****Responsibility for Maintenance: Director of Human Resources and Compliance****I. Policy Statement**

Provided that they meet their primary duties to the College, full-time Faculty and AP employees may apply for leave without pay, or negotiate reduced responsibility contracts to pursue other professional work or to run for and/or hold political office. Such leave is granted at the sole discretion of the President.

II. Reason for Policy

This policy describes the circumstances under which Faculty and AP employees may be permitted to take leave without pay, or reduced-responsibility agreements.

III. Applicability of the Policy

This policy applies to full-time members of the teaching and research faculty who are otherwise covered under the Faculty Handbook (Faculty), and to Administrative and Professional (AP) employees. Leave without pay for College classified employees is governed by the Commonwealth of Virginia Department of Human Resource Management Policy 4.45.

IV. Related Documents

NONE

V. Contacts

Policy Name	Office	Title	Telephone Number	Email
Leave without Pay for Faculty, and for Administrative and Professional Employees	Human Resources and Compliance	Director of Human Resources and Compliance	(804)862-6100 ext 6208	dbell@rbc.edu

VI. Definitions

NONE

VII. Procedures**A. Submission of Request**

Members of the Faculty or AP employees seeking to take leave without pay or reduced-responsibility agreements must present their request to the President, together with:

1. A description of the reason for the leave, together with the precise dates proposed for the leave;
2. If a reduced-responsibility agreement is proposed, a description of the partial work to be performed, and the percentage of work that will be performed.
3. The recommendation of:
 - in the case of Faculty, the Dean of Faculty; or
 - in the case of AP employees, the supervisor of the employee.The recommendation must describe how the work (or partial work) of the employee will be managed during the period of leave. The recommendation should describe any other proposed terms and conditions of such leave.
4. If the proposal for managing the work of the employee during the period of leave will include strategies that will require the expenditure of funds in excess of the savings resulting from not paying the employee during the period of leave, a proposed budget identifying the source of additional funds.

B. Specific Terms and Conditions of Leave

If leave without pay or reduced responsibility leave is granted, the particular terms and conditions of the leave will be set forth in writing.



Richard Bland College
of WILLIAM & MARY

Office of the President

January 15, 2016

The Honorable Lashrecse Aird
2363 Ft. Lee Rd.
Petersburg, VA 23805

Dear Delegate Aird:

I am in receipt of your request for annual leave and, to the extent that your leave balance doesn't cover it, a leave of absence without pay to participate in the 2016 session of the Virginia General Assembly. I am pleased to approve your leave balance in accordance with established policies.

Once again, congratulations on your election to the Virginia General Assembly. Your colleagues at Richard Bland College are tremendously proud of you, and we wish you all the best in your new role.

Sincerely,

A handwritten signature in black ink, reading "Debbie L. Sydow".

Debbie L. Sydow, Ph.D.
President

c: Deanne Bell, Director of Human Resources

RICHARD BLAND COLLEGE CAPITAL OUTLAY PROGRESS REPORT

Ernst Hall Renovation

This project is complete and was brought in on time and under budget. The building opened for the start of the fall semester in August, 2016.

2012 Umbrella Maintenance Project

The Department of Planning and Budget (DPB) has approved an amended scope for the Umbrella Maintenance Project that aligns with RBC-19, the College's strategic plan, and the Facilities Master Plan. The current list of sub-projects related to the Umbrella Project includes:

- 001 Replace Chiller at Statesman Hall
Complete. This project came in on time and under budget.
- 002 Construct a Consolidated Storage Building
This project went out to bid and we anticipate awarding the contract by February 1, 2016, with a completion date of July 1, 2016.
- 003 Improve safety for individuals and security of campus through use of technology
Complete. This project came in on time and under budget.
- 004 Site and Utility Infrastructure Enhancements on the West Campus
This project is on hold pending realized savings to be achieved from sub-project 002. Remaining funds will be deployed in order of priority for West Campus infrastructure enhancements.

VA Department of Forestry (DOF)

Following a successful timber harvest on the West campus in Q1 2015, which represented the first phase of RBC's Forest Management Plan, DOF has applied pesticides in the area to address the beetle infestation. This is in preparation for the next phase of RBC's Forest Management Plan, which will proceed in the spring with the planting of a diverse variety of pine trees to replace harvested trees, as recommended by DOF.

Following the timber harvest, we have completely cleared a 100 ft. corridor on each side of Carson Rd. Along this corridor, we have planted 300 pecan saplings to provide shade, habitat and a grand West entrance to campus. In keeping with campus sustainability and stewardship goals, we have also in-filled the original pecan grove with new trees to replace hundreds of trees that were lost over the decades to storms and neglect.

Statesman Hall Floor

Complete. This project came in on time and under budget

Maintenance Reserve:

- Replacement of Exterior doors in Statesman Hall - The original doors on this nearly 50-year-old building need to be replaced. This project went out for bid and we are currently evaluating the results.
- Replacement of Exterior Doors and Windows in Maze Hall – To increase energy efficiency and decrease fuel costs, as well as improve security, an RFP is being prepared for replacement of exterior doors and windows.
- Replacement of the Boiler in the Student Commons of the Library - The boiler from Ernst Hall, which was replaced with the 2015 building renovation, will be installed this summer in the Student Commons. This will contribute to fewer repairs and improved energy efficiency.

Future Capital Projects

- Center for Teaching & Learning – This project involves a renovation and addition to the current Library, providing a flexible, well equipped space to inspire and connect learning for a networked world through faculty development, student engagement, communities of practice, and technology enhanced active learning. A renewed building filled with natural light, innovative media and displays of artwork and views of campus will engage imaginations and inspire conversation and reflection. This plan calls for approximately 10,000 sq. ft. of renovated space for library resources, 7,000 sq. ft. of renovated space for Information Technology Services and a data center, and 7,000 new sq. ft. for Academic Innovation and training. A new elevator will be necessary to accommodate this change in space design. This project has been approved by the Governor for preliminary planning and will go before the General Assembly next month. Estimated cost is \$23,000,000.
- Phase II Housing - Since 2012, 150 new beds have been added to existing residential facilities (Freedom and Patriot Halls) in response to demand, and despite the added beds, all available housing has been filled to capacity for each of the past three years. Enrollment increases has placed even more pressure on the college to provide on-campus student housing. The HSS building was vacated in the fall of 2015 when classes and offices moved to the newly renovated Social Science, Humanities and English building. Converting the HSS building to student housing will be a cost effective way to relieve some of this pressure by providing nearly 90 added

Board of Visitors

Enclosure B

February 3-5, 2016

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beds. The projected cost for the 16,300 GSF building renovation is \$2,500,000. This project has been approved by the Governor and will go before the General Assembly next month. We will be using 9C bond funding

February 3-5, 2016

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RICHARD BLAND COLLEGE
2015-16 OPERATING BUDGET UPDATE

EDUCATIONAL & GENERAL

<u>REVENUE</u>	<u>Actual</u> <u>2011-12</u>	<u>Actual</u> <u>2012-13</u>	<u>Actual</u> <u>2013-14</u>	<u>Actual</u> <u>2014-15</u>	<u>Approved</u> <u>2015-16</u>	<u>Amended</u> <u>2015-16</u>	<u>Actual</u> <u>12/31/2015</u>
General Funds	\$ 4,908,736	\$ 5,238,116	\$ 5,474,340	\$ 5,652,050	\$ 5,886,045	\$ 5,886,045	\$ 3,844,945
Nongeneral	3,733,224	3,876,508	3,743,089	4,238,344	4,766,738	4,766,738	2,770,063
Central Appropriations	86,971	198,551	201,473	136,053	220,837	220,837	80,564
Prior Year Reappropriations	177,533	96,131	149,754	-	-	-	-
ARRA	520,569	-	-	-	-	-	-
General Fund Reversion	-	-	-	-	-	-	-
General Fund Carryover	(96,131)	(26,971)	-	-	-	-	-
TOTAL REVENUE	\$ 9,330,902	\$ 9,382,335	\$ 9,568,656	\$ 10,026,447	\$ 10,873,620	\$ 10,873,620	\$ 6,695,572

<u>EXPENDITURES</u>	<u>Actual</u> <u>2011-12</u>	<u>Actual</u> <u>2012-13</u>	<u>Actual</u> <u>2013-14</u>	<u>Actual</u> <u>2014-15</u>	<u>Approved</u> <u>2015-16</u>	<u>Amended</u> <u>2015-16</u>	<u>Actual</u> <u>12/31/2015</u>
Instruction	\$ 2,180,586	\$ 3,319,124	\$ 3,703,350	\$ 4,057,378	\$ 4,062,700	\$ 4,062,700	\$ 2,215,756
Public Service	400	-	-	-	-	-	-
Academic Support	312,967	309,205	420,118	579,414	1,129,620	1,129,620	431,331
Student Services	1,072,911	1,131,591	1,249,042	1,710,292	1,628,400	1,628,400	875,784
Institutional Support	2,748,172	2,702,558	2,555,107	2,579,626	2,640,300	2,640,300	1,608,239
Operation of Plant	1,957,696	1,802,893	1,597,112	1,189,692	1,412,600	1,412,600	994,354
ARRA	520,579	-	-	-	-	-	-
Contingency	-	-	-	-	-	-	-
TOTAL EXPENDITURES	\$ 8,793,311	\$ 9,265,371	\$ 9,524,729	\$ 10,116,402	\$ 10,873,620	\$ 10,873,620	\$ 6,125,464

RICHARD BLAND COLLEGE
2015-16 OPERATING BUDGET UPDATE
SCHOLARSHIPS AND LOAN ASSISTANCE
FINANCIAL AID

	Actual 2011-12	Actual 2012-13	Actual 2013-14	Actual 2014-15	Approved 2015-16	Amended 2015-16	Actual 12/31/2015
General Funds	\$ 398,528	\$ 447,803	\$ 454,107	\$ 463,107	\$ 579,107	\$ 579,109	\$ 579,109
Nongeneral Funds	60,000	60,000	60,000	60,000	60,000	60,000	60,000
TOTAL REVENUE	\$ 458,528	\$ 507,803	\$ 514,107	\$ 523,107	\$ 639,107	\$ 639,109	\$ 639,109

*Includes CSG, CSAP, and VMSDEP

EXPENDITURES

Scholarships	\$ 381,255	\$ 458,528	\$ 507,803	\$ 523,107	\$ 639,107	\$ 639,107	\$ 586,757
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FINANCIAL ASSISTANCE
FOR E&G PROGRAMS

	Actual 2011-12	Actual 2012-13	Actual 2013-14	Actual 2014-15	Approved 2015-16	Amended 2015-16	Actual 12/31/2015
General Funds	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Nongeneral Funds*	10,708	12,877	93,180	47,706	17,725	17,725	17,725
TOTAL REVENUE	\$ 10,708	\$ 12,877	\$ 93,180	\$ 47,706	\$ 17,725	\$ 17,725	\$ 17,725

* FY 16 amount reflects budgeted Federal College Work Study and NSF Grant.

EXPENDITURES

Sponsored Programs	\$ 10,708	\$ 12,877	\$ 93,180	\$ 47,706	\$ 17,725	\$ 17,725	\$ 10,640
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PRIVATE FUNDS

	Actual 2011-12	Actual 2012-13	Actual 2013-14	Actual 2014-15	Approved 2015-16	Amended 2015-16	Actual 12/31/2015
Private Funds	\$ 16,033	\$ 16,021	\$ 22,000	\$ 22,000	\$ 22,000	\$ 22,000	\$ 22,000
EXPENDITURES	\$ 15,700	\$ 15,700	\$ 22,000	\$ 22,000	\$ 22,000	\$ 22,000	\$ 12,500

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RICHARD BLAND COLLEGE
2015-16 OPERATING BUDGET UPDATE

AUXILIARY ENTERPRISES

	Actual 2011-12	Actual 2012-13	Actual 2013-14	Actual 2014-15	Approved 2015-16	Amended 2015-16	Actual 12/31/2015
Beginning Fund Balance	\$ 1,659,216	\$ 1,722,962	\$ 878,117	\$ 1,110,457	\$ 1,168,285	\$ 1,168,285	\$ 1,168,285
REVENUE							
Residences	2,125,838	2,140,560	2,416,544	2,519,005	2,800,000	2,800,000	1,267,966
Special Funds	5,100	-	-	-	-	-	-
General Operating	172,976	188,360	285,189	221,242	300,000	300,000	132,034
Parking	133,603	123,925	169,383	102,170	-	-	-
Athletics & Recreation	23,813	30,030	290,105	567,014	715,000	715,000	357,500
Student Activity Fee	-	-	-	-	-	-	-
Health Services	141,975	135,375	-	-	-	-	-
Food/Vending Services	91,490	93,975	27,144	298,161	600,000	600,000	252,460
Bookstore	-	-	-	139,321	100,000	100,000	29,597
Renewal/Replacement	-	-	-	197,200	200,000	200,000	75,017
TOTAL REVENUE	\$ 2,694,795	\$ 2,712,225	\$ 3,188,365	\$ 4,044,113	\$ 4,715,000	\$ 4,715,000	\$ 2,114,574

EXPENDITURES

Residences	\$ 461,371	\$ 877,838	\$ 734,492	\$ 811,659	\$ 830,000	\$ 830,000	391,190
Debt Service on Residence Halls	1,608,874	1,452,891	1,194,594	1,204,611	1,185,000	1,185,000	591,694
General Operating	110,957	356,460	131,092	194,275	238,000	238,000	102,348
Parking	2,223	388,210	10,534	38,647	30,000	30,000	1,924
Athletics & Recreation	20,103	25,264	423,066	594,952	715,000	715,000	350,951
Health Services	117,929	10,141	2,700	-	-	-	-
Food Services	94,592	91,266	40,591	328,971	443,000	443,000	327,927
Indirect Costs	215,000	355,000	410,000	599,300	560,000	560,000	-
Bookstore	-	-	-	564	5,000	5,000	-
Renewal/Replacement	-	-	8,957	213,326	200,000	200,000	228,556
TOTAL EXPENDITURES	\$ 2,631,049	\$ 3,557,070	\$ 2,956,026	\$ 3,986,285	\$ 4,206,000	\$ 4,206,000	\$ 1,994,590
Ending Fund Balance	\$ 1,722,962	\$ 878,117	\$ 1,110,457	\$ 1,168,285	\$ 1,677,285	\$ 1,677,285	\$ 1,288,269

**RICHARD BLAND COLLEGE
FACULTY REPRESENTATIVE REPORT**

The new shared governance structure, which was implemented in the fall of 2015, is working well. Presided over by Dean Lindquist, the Faculty Assembly meetings now provide the faculty with an opportunity for real-time dialogue with Dr. Sydow and him. Additionally, the faculty hears reports from the Academic Area Coordinators and the chairs of the faculty and College committees. The feedback that I have received regarding the new flow of information, which the new shared governance structure has produced, has been overwhelmingly positive. The faculty are now enjoying clear communication lines understanding that their Academic Area Coordinator is their first point of contact but also that the doors of Dean Lindquist and President Sydow are always open for collegial dialogue.

The Faculty Affairs Committee recommendations regarding the *Faculty Handbook* were voted on and passed in the December meeting of the Faculty Assembly. Those recommendations were then forwarded to President Sydow and Dean Lindquist for consideration.

Of special note in its recent meeting on Tuesday, January 19th, the Faculty Assembly heard from the chair of the Instructional Programs Committee, Tiffany Birdsong, new full-time faculty member teaching Psychology. Dr. Birdsong reported that the committee is undertaking a review of the College's curriculum goals as they are found on page 44 in the *RBC College Catalog*.

As the College continues to build out ESE@RBC—a comprehensive and fully integrated approach to student retention—to start the spring semester, the faculty were provided professional development and training in tools designed to improve student success. Presentations were given by representatives from Dropout Detective, Smarthinking, and Turnitin.

- **Dropout Detective** is a student retention and success solution that integrates directly with Canvas to provide a risk index of how likely it is that each online student will drop out of or fail their online course(s). The program analyzes past and current behavior to predict future performance. This program pulls together the different reasons a student is at risk and makes it easy to quickly go through and look at what might be happening with a student and determine an appropriate intervention strategy. AspirEDU (AspirEDU.com) is a company that provides educational analytics solutions for the needs of educators. RBC is using Dropout Detective to track the success of all of its students (as opposed to only online students). One of the most important aspects of the retention tool is that it provides the critical link between Learner Mentors and faculty members, which allows them to communicate about the progress of all students.
- **Smarthinking, Inc.** (smarthinking.com) is a division of Pearson Education and “is the leader in on-demand student support, having successfully completed more than 4.5 million online tutoring sessions with students at more than 1,000 institutions around the globe” and provides

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“...24/7 access to highly trained online tutors who help students improve their problem-solving skills and help them strengthen their content mastery. As a result, Smarthinking helps students improve their success and reach their educational goals.”

- **Turnitin** (Turnitin.com) is a plagiarism detection tool which “eliminates the time-consuming process of verifying student authorship by presenting easy-to-use reports that show how much of a document is original, cited from other sources, or unoriginal. With Turnitin, educators can promote academic integrity in their classrooms. Students learn the importance of original writing and attribution and foster critical thinking skills that are important to student success.”

Jena Morrison, new full-time faculty member teaching Sociology, began training in order to offer MBSR (mindfulness-based stress relief) meditation classes and to identify the correlations between MBSR and MBCT (mindfulness-based cognitive therapy). Jena plans to co-facilitate classes in April and hopes to be able to offer meditation classes/lessons by the end of the term on campus for faculty, students, and staff to help with stress, anxiety, and overall mental health. The Balance and Breathe Bash, which took place in December and I mentioned in my last report, was a huge success providing relaxation and stress-relief opportunities for the campus community.

Matt Smith, Assistant Professor of Mathematics and Academic Area Coordinator (Math and Computer Science), is pioneering a newly-designed Math 100A (Basic Algebra) course this semester using ALEKS (an adaptive assessment and learning tool based on Knowledge Space theory) as the centerpiece for the course. ALEKS assesses, in 20-30 questions, exactly which topics in math are strengths and which are weaknesses for each student and generates an individualized learning path for the student that focuses each session on the topics they are most ready to learn. Classroom instruction will be divided among group- and professor-led instruction, ALEKS-based individualized remediation time, and peer-to-peer collaboration. ALEKS assessments will also be administered at various intervals to measure progress. ALEKS has been shown at other institutions, including Portland State University, Penn State University, and the University of Illinois, to dramatically improve success rates in developmental math courses.

Dr. Barbara Morgan, Professor of Psychology, currently has thirteen students registered to be part of the graduating class in her Equine Therapy Certificate program this spring. That is an increase of over 30% from last year. Unfortunately, the Equine Therapy Certificate team lost a valuable volunteer equine member over the break. All involved were saddened by the death of one of the horses, Newman, who suffered from cancer. Dr. Morgan is looking forward to taking a group of students to the EAGALA conference in the spring. Students will be part of a panel presentation at the conference and will be discussing the RBC Equine Therapy program. RBC is the only college in the state that offers such a program and only the second college in the country to offer a full EAGALA-based degree.

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Dr. Shawn E. Holt, full-time faculty member teaching Biology and Head Golf Coach, has accrued a number of noteworthy accomplishments:

- 1) Dr. Holt's manuscript entitled "Modeling Early Stage Bone Regeneration with Biomimetic Electrospun Fibrinogen Nanofibers and Adipose-derived Mesenchymal Stem Cells" has been accepted for publication in the peer-reviewed journal "Electrospinning." The premise of the paper is that one can use a novel matrix to grow human bone using adult stem cells isolated from liposuction – a.k.a. tissue engineering. Dr. Holt took stem cells from the fat of a human and grew the cells on a substrate he made using a technique similar to making cotton candy; only instead of sugar, he used purified protein. If grown under the right conditions, Dr. Holt found that this substrate/matrix was ideal for the formation of bone from stem cells. The paper will be published online in March 2016 and in print in the summer of 2016.
- 2) Dr. Holt presented seminars to students at two high schools in Loudoun County on "The Role of Stem Cells in Aging and Tissue Engineering" in December 2015. Both Rock Ridge High School and Tuscarora High School are RBC dual enrollment partners for Biology 101/102 this year, for which Dr. Holt serves as Master Instructor, coordinating the curriculum.
- 3) Dr. Holt's patent entitled "Impact Resistant, Torsion-Reducing Protective Athletic Gear Using Shear Thickening Fluid," number 9,193,890, was approved by the U.S. Patent and Trademark Office in November 2015. The patent is the second patent for his company, Presidium Athletics, LLC, which was created to use an innovative technology as part of the manufacturing process for athletic apparel and gear as a means of protecting athletes from injury. (Presidium is Latin for protection). This "secret sauce" is impregnated into the fabric and serves to significantly reduce vibration (golf and/or tennis), blunt-force trauma (football and/or hockey), and the torque associated with joint-related injuries (non-contact knee injuries).
- 4) The RBC Women's Golf Team, coached by Dr. Holt, won their first competitive match at the Cross Creek Country Club in Mt. Airy, NC, home of Surry Community College, in October 2015. The team of Anna Carole Cole (Halifax County HS, Halifax, VA), April Lessard (Matoaca HS, Chesterfield, VA), Savannah Porter (Cosby HS, Chesterfield, VA), Mandy Almarode (Prince George HS, Prince George, VA), and Karen Ryan (Matoaca HS) brought home the victory and look forward to the upcoming spring season.

Jill Mitten
Associate Professor of English, Speech, and Theatre

RICHARD BLAND COLLEGE
STUDENT REPRESENTATIVE REPORT

As we welcome in a new spring semester full of fun times and lasting memories at RBC, I would like to first recall some of the events that occurred at the conclusion of last semester.

While we were preparing for exams, staff and faculty held a number of events to relieve stress and keep us energized. First and foremost we enjoyed the annual midnight munchies where faculty and staff served breakfast to students to kick off exam week. We were also treated to a new week-long event called Relax and Breathe, which was coordinated by Professor Jena Morrison and her sociology students. This event gave students a chance to take a break from the stress of exams and enjoy various activities such as dodgeball, henna tattoos, yoga, shoulder massages, and painting. It also gave students a confidence boost to tackle their upcoming exams with things such as the inspirational wall and therapy dogs. This event was a fun activity and was enjoyed by students. We hope to see this event occur again in the spring semester.

That brings me to my next point. Richard Bland College saw a 76% increase in the number of students earning above a 3.25 GPA. I have spoken with students, both freshmen and sophomores, who credit their academic success this semester to small class sizes, the availability and the reminders issued through Canvas, and, most importantly, the combination and “teamwork” that is provided by their professors and learner mentors to ensure that they are staying on track with their courses and their assignments. Other students stated that professors were more than willing to take the time to further explain various topics. Many students also made the comment that RBC has made the oftentimes difficult transition from high school to college an easy and smooth one.

At the start of this semester, Residence Life welcomed a new director, Dr. Corey Scott. Dr. Scott vows to incorporate more activities in the residence halls and to continue to ensure that residence halls have a favorable learning environment and are a safe place for students. Dr. Scott has already fulfilled his promises in that the residence life has enjoyed a movie night and karaoke night in the dorms. We are excited to see what Dr. Scott has planned next and the student body welcomes him to RBC.

Lastly, several dances have been hosted throughout campus both this semester and last semester, such as the first-ever Night Before Christmas Pajama Dance. At this event students got to wear their favorite pajamas and enjoy good music and good company. Next was the Welcome Back Student Dance. This was a casual event to welcome in the new semester on a positive note and was a huge success.

My only hope for this semester is that it is filled with as many memories as the last. With more students achieving higher grades, I cannot thank you enough for keeping the goal of 100% student success in mind and, even more, making it a reality. I’m happy to continue this semester, but am also sad that this will be my final few months at RBC.

Amanda Archer
Student Representative to the Board of Visitors

EXECUTIVE COMMITTEE
February 3, 2016
4:30 – 6:30 p.m.
Rector's Office - Blow Memorial Hall

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

- I. Introductory Remarks - Mr. Stottlemeyer
- II. Approval of Minutes – November 18, 2015
- III. Closed Session (if necessary)
- IV. Adjourn

EXECUTIVE COMMITTEE
MINUTES – NOVEMBER 18, 2015

MINUTES
Executive Committee
November 18, 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 4:15 p.m.

Recognizing that a quorum was present, Mr. Stottlemeyer asked for a motion to approve the minutes of the meeting of September 16, 2015. Motion was made by Ms. Gerdelman, seconded by Mr. Scott and approved by voice vote of the Committee.

After brief welcoming remarks and review of the Board schedule, Mr. Stottlemeyer asked for a motion 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 made by Ms. Gerdelman, 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 4:25 p.m.

The Executive Committee reconvened in open session at 6:45 p.m. Mr. Stottlemeyer reviewed the topics discussed during closed session, 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. Ashton 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 6:45 p.m.

Executive Committee

Resolution EC-1

November 18, 2015

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. Stottlemeyer
Chair
Executive Committee

COMMITTEE ON AUDIT AND COMPLIANCE
February 4, 2016
7:45 – 9:45 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
 - A. November 19, 2015
 - B. December 10, 2015 – *joint with Richard Bland*
- III. Report from the Auditor of Public Accounts – Brad Hypes
- IV. Report from Director of Internal Audit – Kent B. Erdahl
- V. Report from Chief Compliance Officer – Kiersten L. Boyce
- VI. Closed Session (if necessary)
- VII. Discussion
- VIII. Adjourn

COMMITTEE ON AUDIT & COMPLIANCE
MINUTES – NOVEMBER 19, 2015

JOINT WITH RICHARD BLAND COLLEGE
MINUTES – DECEMBER 10, 2015

MINUTES
Committee on Audit and Compliance
November 19, 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, and DeRonda M. Short. Board members present: Karen Kennedy Schultz and faculty representative Suzanne Raitt. Others present: Kiersten L. Boyce, Deborah Cheesebro, Kent B. Erdahl, Penelope G. Howard, Samuel E. Jones, Deborah A. Love, Sarah E. Melchior, Pamela H. Mason, John M. Poma, Debbie L. Sydow, Sandra J. Wilms, and other William and Mary staff. Brad Hypes and Jenny Schoeller of the Auditor of Public Accounts were also present at the meeting.

Chair John Charles Thomas called the meeting to order at 8:00 a.m.

Recognizing that a quorum was present, Judge Thomas asked for a motion to approve the minutes of the meeting of September 17, 2015. Motion was made by Mr. Little, seconded by Ms. Baise and approved by voice vote.

Judge Thomas asked the Auditor of Public Accounts (APA) for their report. Brad Hypes, Audit Manager, provided the Committee with audit engagement documentation and stated that the June 30, 2015 audit is now underway. Mr. Hypes communicated that the APA has met with College of William and Mary and Richard Bland College management to kick-off the audit. Mr. Hypes described that the scope of the audit will generally be the same as in prior years. The audit timing is accelerated due to College of William and Mary accreditation requirements. Mr. Hypes communicated that the report will be issued by the February Board meeting. He indicated that an audit opinion will be issued on the consolidated financial statements. In addition, a report on internal control will be issued. Mr. Hypes communicated audit staffing and standard audit communications associated with the engagement.

Judge Thomas asked Director of Internal Audit Kent Erdahl for his report. Mr. Erdahl first discussed the 2016 audit work plan development process. Mr. Erdahl stated that he has solicited input from key members of William and Mary, VIMS, and Richard Bland in developing his plan. A risk model is also utilized in identifying potential audit activities. Mr. Little inquired about use of the risk model in setting the plan. A brief discussion ensued, and Mr. Erdahl communicated that judgment is involved in setting the plan. Mr. Erdahl stated that he will revisit the audit plan during the year and make revisions to best align audit activities with risk. Mr. Erdahl presented the proposed work plan and described certain work plan audit activities and the rationale for inclusion in the plan.

Judge Thomas asked for a motion to adopt **Resolution 3**, Approval of the Office of Internal Audit 2016 Work Plan. Motion was made by Ms. Baise, seconded by Mr. Little and approved by voice vote of the Committee.

Committee on Audit and Compliance

MINUTES

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Next, Mr. Erdahl provided a status update on 2015 internal audits. Mr. Littel inquired about the in-process International Travel audit and a brief discussion of Reves Center for International Studies travel policy ensued. Mr. Erdahl provided the Committee with an update on follow-up testing including an update on APA management finding follow-up testing.

The Chief Compliance Officer, Kiersten Boyce, provided a presentation on institutional compliance priorities. These priorities fall into three areas: safety and security, civil rights, and research. Ms. Boyce's presentation also discussed some unique aspects of institutional response to reported misconduct, through investigations.

Judge Thomas moved that the Committee on Audit and Compliance of the Board of Visitors of the College of William and Mary 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 including performance or discipline of specific employees and which will involve the 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 8:30 a.m.

The Committee reconvened in open session at 9:32 a.m. Judge Thomas reviewed the topics discussed in closed session and moved 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 9:32 a.m.

November 19, 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;

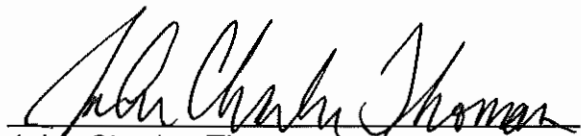
NOW, THEREFORE, BE IT RESOLVED, That the Committee on Audit and Compliance, reconvening in open session, hereby certifies that, to the best of each member's knowledge, (i) only public business matters lawfully exempted from open meeting requirements by Virginia law were discussed in the closed session 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:

A handwritten signature in black ink, appearing to read "John Charles Thomas", is written over a horizontal line.

John Charles Thomas

Chair

Committee on Audit and Compliance

MINUTES
Joint Meeting: Richard Bland College Committee
and Committee on Audit and Compliance
December 10, 2015
Barn Theatre – Richard Bland College

Richard Bland College Committee 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.

Committee on Audit and Compliance Attendees: John Charles Thomas, Chair; Christopher M. Little, Vice Chair; Ann Green Baise, John E. Littel, William H. Payne II.

Others present: President Debbie L. Sydow, Lashrecse Aird, Deanne N. Bell, Kiersten L. Boyce, Jeffrey Brown, Kent B. Erdahl, Michael J. Fox, Penny G. Howard, Vern L. Lindquist, Deborah A. Love, Sarah E. Melchior, Chuck Moore, Joanne Williams, Leslie Williams, Sandra J. Wilms, and other Richard Bland staff.

Commonwealth's Attorney for Dinwiddie County Ann Cabell Baskervill was also in attendance.

Richard Bland College Committee Chair John Littel called the joint meeting to order at 10:00 a.m., welcomed the members of the Audit and Compliance Committee, and briefly reviewed the purpose of the meeting, noting it was intended to be a work session to continue the discussions on compliance and audit from the November meeting, including Title IX compliance.

Audit and Compliance Committee Chair John Charles Thomas explained the compliance and audit functions as protective, noting the Committee was looking for best practices.

President Debbie Sydow welcomed the Board members to campus and, as a background to the discussion, provided a brief history of the development of Richard Bland College

Dinwiddie County Commonwealth's Attorney Ann Cabell Baskervill thanked the Board members for inviting her to participate in the discussion.

William and Mary's Chief Compliance Officer Kiersten Boyce provided an overview of the compliance process, including the different ways in which activities are regulated under Title IX and the Clery Act. A general discussion ensued.

Richard Bland's Director of Human Resources and Compliance Deanne Bell discussed Title IX compliance at the College, noting collaboration with William and Mary and assistance from Deb Love and Sarah Melchior. A general discussion ensued.

Richard Bland's Chief of Policy Jeffrey Brown reviewed updates to the Code of Virginia regarding sexual violence and briefly discussed the jurisdictional differences since the College is located in both Prince George and Dinwiddie counties. A general discussion ensued.

JOINT MEETING:
Richard Bland College Committee and
Committee on Audit and Compliance
MINUTES
Page 2

Director of Internal Audit Kent Erdahl discussed the audit function at Richard Bland College, commenting on the challenges to creating a sustainable compliance environment. Judge Thomas commented on the establishment of the Internal Audit plan and briefly explained the development of the plan for Richard Bland. A general discussion ensued.

There being no further business, the joint meeting adjourned at 12:45 p.m.

Chair John Littel convened the Richard Bland College Committee at 12:45 p.m. for a brief meeting to discuss the progress on the revision of the Faculty Handbook.

President Sydow and Dean Lindquist reported that the Handbook revisions will be brought to the Board in February, following completion of the review process on campus. Dean Lindquist outlined the steps in the review process, noting that the Faculty Assembly will vote on the recommendation on December 15, then the President and Dean Lindquist will review and finalize the material. Ms. Love advised that Title IX changes have been a major part of the revisions. A general discussion ensued.

Faculty representative Jill Mitten briefly discussed her views on the current relationship of the faculty with President Sydow, noting in her opinion, the shared governance structure is now working well. A brief discussion ensued.

Mr. Littel moved that the Richard Bland College Committee first convene in Closed Session to discuss specific personnel matters and for briefings by legal counsel or staff members pertaining to specific legal matters, then 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. 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 Closed Session at 1:17 p.m.

The Committee reconvened in open session at 2:35 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 Richard Bland College Committee adjourned at 2:35 p.m.

COMMITTEE ON ACADEMIC AFFAIRS

February 4, 2016

8:45 – 9:45 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 – November 19, 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. Appointments to Fill Vacancies in the Instructional Faculty **Resolution 3**
 2. Faculty Promotions **Resolution 4**
 3. Award of Academic Tenure **Resolution 5**
 4. Designated Professorships **Resolution 6**
 5. Term Distinguished Professorships **Resolution 7**
 6. Faculty Leaves of Absence **Resolution 8**
 7. Retirement of Sharon Hall deFur
School of Education **Resolution 9**
 8. Retirement of George D. Greenia
Department of Modern Languages and Literatures **Resolution 10**
 9. Retirement of Barbara J. King
Department of Anthropology **Resolution 11**
 10. Retirement of Juanita Jo Matkins
School of Education **Resolution 12**

COMMITTEE ON ACADEMIC AFFAIRS
February 4, 2016

- | | |
|--|-----------------------------|
| 11. Retirement of Terry L. Meyers
Department of English | Resolution <u>13</u> |
| 12. Retirement of Richard H. Palmer
Department of Theatre, Speech and Dance | Resolution <u>14</u> |
| 13. Retirement of Charles Perdrisat
Department of Physics | Resolution <u>15</u> |
| 14. Retirement of Gary W. Rice
Department of Chemistry | Resolution <u>16</u> |
| 15. Retirement of W. Larry Ventis
Department of Psychology | Resolution <u>17</u> |

VII. Discussion

VIII. Adjourn

COMMITTEE ON ACADEMIC AFFAIRS
MINUTES – NOVEMBER 19, 2015

MINUTES
Committee on Academic Affairs
November 19, 2015
Board Room – Blow Memorial Hall

Attendees: Robert E. Scott, Chair; Lynn M. Dillon, Vice Chair; Lisa E. Roday; Karen Kennedy Schultz, and faculty representative Suzanne Raitt. Board members present: Rector Todd A. Stottlemeyer, Thomas R. Frantz, 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, members of the Faculty Liaison Committee and other College staff.

Chair Robert Scott called the Committee to order at 8:45 a.m. Recognizing that a quorum was present, Mr. Scott moved to approve the minutes of the meeting of September 19, 2015. Motion was seconded by Ms. Dillon and approved by voice vote of the Committee.

In his introductory remarks, Provost Halleran reported that Early Decision applications were down slightly, with quality seemingly comparable to recent years. The SACS-COC process was moving forward successfully with a response to the William and Mary self-study expected shortly, and the QEP development was close to completion. The COLL curriculum continues to be rolled out effectively. A brief discussion ensued.

Faculty Liaison Committee chair Professor Elizabeth Barnes provided an update on Faculty Assembly activities, and reported on the ongoing changes to the 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.

The Provost introduced Professor Colleen Kennedy, Director of the St Andrews joint degree program. Professor Kennedy reported on the program and three program students fielded Board questions on their experience.

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 executive, instructional and professional faculty, as provided for in Section 2.2-3711.A.1., of the Code of Virginia. Motion was seconded by Ms. Dillon and approved by voice vote. The Committee went into executive session at 9:16 a.m.

The Committee reconvened in open session at 9:30 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 Michael Fox. (Certification **Resolution** is appended.)

Mr. Scott moved to approve as a block **Resolution 4**, Appointments to Fill a Vacancy in the Executive Faculty; **Resolution 5**, Appointments to Fill a Vacancy in the Instructional Faculty;

Committee on Academic Affairs

MINUTES

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Resolution 6, Appointments to Fill Vacancies in the Professionals and Professional Faculty; **Resolution 7**, Designated Professorships; **Resolution 8**, Faculty Leave of Absence; and **Resolution 9**, Retirement of John M. Brubaker, School of Marine Science. Motion was seconded by Ms. Roday and approved by voice vote of the Committee.

There being no further business, the Committee adjourned at 9:32 a.m.

November 19, 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;

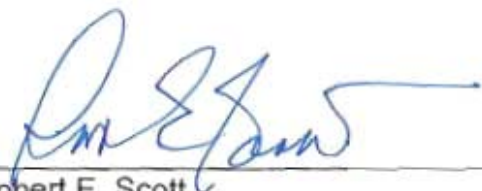
NOW, THEREFORE, BE IT RESOLVED, That the Committee on Academic Affairs, reconvening in open session, hereby certifies that, to the best of each member's knowledge, (i) only public business matters lawfully exempted from open meeting requirements by Virginia law were discussed in the closed session to 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: 4

NAYS: 0

ABSENT DURING CLOSED SESSION:

A handwritten signature in blue ink, appearing to read "R. E. Scott", is written over a horizontal line.

Robert E. Scott
Chair
Committee on Academic Affairs

COLLEGE OF WILLIAM AND MARY
APPOINTMENTS TO FILL VACANCIES 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 individuals to fill these positions effective with the 2016-17 academic year:

CLAIRE MCKINNEY, Assistant Professor of Government and Gender, Sexuality, and Women's Studies

B.A., University of Texas, Austin, 2005
M.A. (2009) and Ph.D. (2014), The University of Chicago

Washington University
Postdoctoral Fellow, 2014-2016
Instructor, 2011-2014

ELIZABETH B. RAPOSA, Assistant Professor of Psychology

B.A., University of Pennsylvania, 2009
M.A. (2010) and Ph.D. (2015), University of California, Los Angeles

Yale-New Haven Hospital DBT Intensive Outpatient Program
Clinical Supervisor, 2014-2015

ANDREA GRACE WRIGHT, Assistant Professor of Anthropology and Asian and Middle Eastern Studies

B.A. (2000) and Ph.D. (2015), University of Michigan
M.A., The University of Chicago, 2004
M.A., University of Michigan, 2008

University of Michigan
Instructor, 2007-2009, 2012, 2014

COLLEGE OF WILLIAM AND MARY
FACULTY PROMOTIONS

The following members of the Instructional Faculty of the College of William and Mary have been recommended for promotion in academic rank by the appropriate departmental committees and chairs, the appropriate deans, and by the Provost and President.

BE IT RESOLVED, That upon *recommendation* of the President, the Board of Visitors of the College of William and Mary approves the academic promotion of the following members of the Faculty of the College, effective with the beginning of the 2016-17 academic year:

Associate Professor to Professor

ALLISON O. LARSEN, William & Mary Law School

Assistant Professor to Associate Professor

JAMES P. BARBER, School of Education

GÉRARD L. CHOUIN, Department of History

MICHAEL P. CRONIN, Department of Modern Languages and Literatures

JAMEL K. DONNOR, School of Education

CHRISTOPHER FREIMAN, Department of Philosophy

JONATHAN GLASSER, Department of Anthropology

LESLIE GRANT, School of Education

CAROLINE HANLEY, Department of Sociology

DIAFENG HE, Department of Economics

SHANTÁ D. HINTON, Department of Biology

JENNIFER G. KAHN, Department of Anthropology

MAX G. KATZ, Department of Music

JOHN LOMBARDINI, Department of Government

COLLEGE OF WILLIAM AND MARY
FACULTY PROMOTIONS

Assistant Professor to Associate Professor (cont'd)

PETER MCHENRY, Department of Economics

PIETER PEERS, Department of Computer Science

JEREMY W. POPE, Department of History

M. MUMTAZ QAZILBASH, Department of Physics

HANNAH ROSEN, Department of History and American Studies

ENRICO ROSSI, Department of Physics

CHRISTOPHER S. TUCKER, Department of Philosophy

KRISTIN L. WUSTHOLZ, Department of Chemistry

COLLEGE OF WILLIAM AND MARY
AWARD OF ACADEMIC TENURE

The following members of the Instructional Faculty at the College of William and Mary have been recommended for the award of academic tenure by the appropriate departmental committees and chairs, the appropriate deans, and by the Provost and President.

BE IT RESOLVED, That upon recommendation of the President, the Board of Visitors of the College of William and Mary approves the following members of the Faculty be awarded academic tenure, effective with the beginning of the 2016-17 academic year:

JAMES P. BARBER, School of Education

GÉRARD L. CHOUIN, Department of History

MICHAEL P. CRONIN, Department of Modern Languages and Literatures

JAMEL K. DONNOR, School of Education

CHRISTOPHER FREIMAN, Department of Philosophy

JONATHAN GLASSER, Department of Anthropology

LESLIE GRANT, School of Education

CAROLINE HANLEY, Department of Sociology

DIAFENG HE, Department of Economics

SHANTÁ D. HINTON, Department of Biology

JENNIFER G. KAHN, Department of Anthropology

MAX G. KATZ, Department of Music

ALLISON O. LARSEN, William & Mary Law School

JOHN LOMBARDINI, Department of Government

PETER MCHENRY, Department of Economics

PIETER PEERS, Department of Computer Science

JEREMY W. POPE, Department of History

M. MUMTAZ QAZILBASH, Department of Physics

HANNAH ROSEN, Department of History and American Studies

ENRICO ROSSI, Department of Physics

CHRISTOPHER S. TUCKER, Department of Philosophy

KRISTIN L. WUSTHOLZ, Department of Chemistry

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 2016-17 academic year:

GUL OZYEGIN, Margaret Hamilton Associate Professor of Sociology and Gender, Sexuality and Women's Studies

JUNPING SHI, Margaret Hamilton Professor of Mathematics

YANFANG TANG, Chancellor Professor of Chinese Studies

CHITRALEKHA ZUTSHI, James Pinckney Harrison Professor of History

COLLEGE OF WILLIAM AND MARY
TERM DISTINGUISHED PROFESSORSHIPS

The following members of the Instructional Faculty of the College of William and Mary have been recommended for term distinguished professorships which recognize outstanding mid-career faculty members.

BE IT RESOLVED, That upon recommendation of the President, the Board of Visitors of the College of William and Mary approves the distinguished professorships for a three-year term for the following members of the Faculty of the College, effective with the 2016-17 academic year:

MELANIE V. DAWSON, David and Carolyn Wakefield Term Distinguished Associate Professor of English

SARAH L. DAY, Cornelia Brackenridge Talbot Term Distinguished Associate Professor of Mathematics

ANNE CHARITY HUDLEY, Class of 1952 Term Associate Professor of English

SARAH L. STAFFORD, Paul R. Verkuil Term Distinguished Professor of Public Policy

COLLEGE OF WILLIAM AND MARY
FACULTY LEAVES OF ABSENCE

The following faculty members have requested a leave of absence without pay or with partial pay during the 2016-2017 academic year for the reasons given.

BE IT RESOLVED, That upon recommendation of the President, the Board of Visitors of the College of William and Mary approves these leaves of absence:

JOANNE M. BRAXTON, Frances L. and Edwin L. Cummings Professor of English and Africana Studies, to accept a Library of Congress Fellowship in the John W. Kluge Center

SCOTT R. NELSON, Leslie and Naomi Legum Professor of History, to participate in an exchange program with the University of Leiden, Netherlands

COLLEGE OF WILLIAM AND MARY
RETIREMENT OF SHARON HALL DEFUR
SCHOOL OF EDUCATION

Sharon Hall deFur received her undergraduate degree in Psychology from the College of William & Mary and in 1998 she returned to her alma mater as an assistant professor. During the intervening years, she worked as a special education teacher in Baltimore, Maryland and Fairfax County Public Schools, and as an educational diagnostician in Manassas City Public Schools. She also completed a M.Ed. in Special Education from Loyola College. After earning an Ed.D. in Special Education from George Washington University in 1990, Dr. deFur served as a Specialist in the Office of Special Education and Student Services with the Virginia Department of Education.

During her 18 years as a William & Mary faculty member in the School of Education, Professor deFur effectively balanced the roles of teaching, scholarship and professional service while serving in key leadership positions. She was Coordinator of the Curriculum and Instruction Area for three years and served as a member or chair of nearly every major committee in the School of Education. She was awarded tenure and promoted from Assistant Professor to Associate Professor in only three years and promoted to Professor in 2008.

While her primary area of expertise is students with learning disabilities who are experiencing transitions in their lives or school experiences, she taught nearly every course in the undergraduate and graduate special education curriculum and several seminars for leaders seeking a doctoral degree in Special Education Administration. Professor deFur also taught several freshmen seminars and advised undergraduate students conducting research on disabilities. Additionally, Professor deFur chaired seven dissertation committees and served on many more. In total, she has taught more than 1,500 students at W&M and has conducted professional development programs for over 10,000 practicing teachers from across the Commonwealth and nation. Student and professional evaluations have consistently ranked her performance as superior. Her teaching has garnered her a prestigious term chair from W&M, the Alumni Memorial Chair.

Professor deFur is known by her students as a professor who is passionate about the teaching and learning of students with disabilities. She mentored her students in the content and skills but, more importantly, in the ethical and legal aspects of special education. Students who graduated from her programs are highly sought as general or special education educators who also become leaders in the profession and of professional organizations.

Professor deFur has authored or co-authored over 32 publications in academic and professional journals and two books. She has also made major contributions to special education and school psychology in her role as a test reviewer for The Buros Institute of Mental Measurements.

Professor deFur has been especially productive in securing external funding to support programs, students and research projects. As Principal or Co-Principal Investigator, she garnered nearly \$4 million in funded grants and contracts for W&M. From 1999-2013, she led evaluations of the Special Education State Improvement Grants, and from 2005-10, she co-directed the Training and Technical Assistance Center, both sponsored by the Virginia Department of Education. Most recently, she directed a major grant from the U.S. Department of Education entitled, "Preparing and Sustaining Inclusive Educators."

Throughout her career, Professor deFur has been actively engaged with the international Council for Exceptional Children and its divisions, including serving as President of the Division on Career Development and Transition. She has been recognized for leadership in transitioning students with disabilities to post-secondary education, employment and independent living. Professor deFur has been the recipient of multiple awards including the Bill Hinek Lifetime Achievement and Transition Leader of the Year Awards from the Virginia Council of Exceptional Children, a distinguished committee of her peers. She continues to be a tireless advocate for social justice and the inclusion of individuals with disabilities and all types of diversity.

BE IT RESOLVED, That the Board of Visitors acknowledges the retirement of Sharon H. deFur; expresses its appreciation for her many contributions to the College of William & Mary; and approves, with deep gratitude for her 18 years of service, a change in status from Professor of Education to Professor of Education, Emerita.

BE IT FURTHER RESOLVED, That the resolution be spread upon the minutes of the Board and a copy of the same be delivered to Professor deFur with best wishes for continuing and creative work in the years ahead.

COLLEGE OF WILLIAM AND MARY
RETIREMENT OF GEORGE D. GREENIA
DEPARTMENT OF MODERN LANGUAGES AND LITERATURES

George Greenia received his A.B. from Marquette University with majors in Spanish and Latin. He earned his M.A. and Ph.D. in Spanish from the University of Michigan. Professor Greenia joined the faculty of the College of William & Mary in 1982 as an Assistant Professor of Spanish. He was promoted to Associate Professor in 1988, and Professor in 1998.

A scholar of Spanish medieval cultural studies, over many years George Greenia has literally walked alongside scores of W&M students, traversing hundreds of miles with them along the historic St. James route in northern Spain. Whether he is supervising on-site undergraduate research along the paths of pilgrimage in western Europe, guiding students through the interdisciplinary Medieval & Renaissance Studies program that he co-founded at the College, or making the ancient medieval archive come alive for today's generation of learners, Professor Greenia has facilitated the academic journey of thousands of W&M students during his long and illustrious 34-year career on our campus. He has been deeply, passionately committed to enhancing the quality of life for our students for decades, not only within the classroom, but outside of it as well, earning a reputation as one of the most trusted faculty advisors for diverse communities on our campus.

Professor Greenia's impact as a professor/mentor is inseparable from his field of specialization in Iberian medieval studies and contemporary pilgrimage studies. Thanks in large part to his work as the long-time editor-in-chief of *La Corónica*, the leading English-language journal in the field of medieval Hispanic literature, he is a well-known medieval studies scholar; in 2007, the Council of Editors of Learned Journals recognized his outstanding stewardship of this journal with their "Distinguished Editor Award." His considerable contributions as an assiduous editor of medieval cultural production are evident in the two-volume encyclopedia he co-edited, *Castilian Writers, 1200-1500*. Also in 2007, Professor Greenia received Spain's highest cultural distinction for foreign nationals, the Cross of Isabel the Catholic, in recognition of his contributions to the research and dissemination of Spain's cultural heritage. He is a much sought after speaker who has presented more than 85 guest lectures in universities around the world, including the U.S., Canada, England, Spain, and the Netherlands. But no audience has benefitted more from his knowledge, witty lectures, and hidden archival treasures revealed, than his students.

Professor Greenia has spearheaded fruitful interdisciplinary collaborations that have been key to the success of the Med/Ren Studies program that he helped create in 1991 and directed for fifteen years. The roster of his course titles – “Love & Prostitution in Medieval Spain,” “The Theft of Relics in the Medieval Archive,” “The Book of Revelation: from Rome to Waco,” “Alfonso X: Magic, Stars, Love”, “The Medieval Book” – invites the curious learner into an unfamiliar world where Professor Greenia skillfully guides students along the path of discovery. He is a devoted teacher of research skills, and his students have presented at international conferences and published in journals in the field of Hispanic Studies.

Surely, the intellectual crossroads that our students have most profoundly and productively navigated under Professor Greenia's supervision is in the field of pilgrimage studies. In 2005, he began traveling to Spain with small groups of fellow travelers, walking the Camino de Santiago with them. Eventually, he developed this initiative into the ongoing W&M summer abroad program in Santiago, characterized by course work that combines field research, in-class instruction, and the pilgrimage itself. In 2007 he curated the exhibit *Sacred Steps*, which featured visual art, including student work. Since then, Professor Greenia founded the Institute for Pilgrimage Studies, which sponsors an annual symposium similarly including a forum for student-scholars' research. He has used his active network in the nation's capital to obtain annual summer internships for four W&M students to work on cultural initiatives in the Spanish Embassy as well as summer internships at the Library of Congress that have benefited many Modern Languages and Literatures students.

In sum, Professor Greenia's career can be characterized as one of generous devotion to the students and the academic mission of the College of William & Mary. It is a surety that he will continue to mentor life learners and foster intellectual curiosity for many years after his official retirement from the College.

BE IT RESOLVED, That the Board of Visitors acknowledges the retirement of George D. Greenia; expresses its appreciation for his many contributions to the College of William & Mary; and approves, with deep gratitude for his 34 years of service, a change in status from Professor of Hispanic Studies to Professor of Hispanic Studies, Emeritus.

BE IT FURTHER RESOLVED, That the resolution be spread upon the minutes of the Board and a copy of the same be delivered to Professor Greenia with best wishes for continuing and creative work in the years ahead.

COLLEGE OF WILLIAM AND MARY
RETIREMENT OF BARBARA J. KING
DEPARTMENT OF ANTHROPOLOGY

Barbara J. King received her B.A. in Anthropology from Douglass College. She went on to earn her M.A. and Ph.D. in Anthropology from the University of Oklahoma. Professor King joined the faculty of the College of William & Mary in 1988 as a Visiting Assistant Professor of Anthropology, and became tenure-eligible the next year. She was promoted to Associate Professor in 1996, Professor in 2002, and was named a Chancellor Professor in 2008. Dr. King was also the University Professor for Teaching Excellence and the Class of 2007 Professor.

Professor King has performed remarkable service for the College both on campus and off. She has been a member of the Faculty Assembly, the Faculty Affairs Committee, the Retention, Promotion and Tenure Committee, and chaired the Outstanding Faculty Award Committee, to name just a few of her service roles. Dr. King has also been a longstanding member and director of the Undergraduate Committee in the Department of Anthropology.

Her service beyond the College is equally remarkable. She has served on seven editorial boards, including the boards of *American Anthropologist* and *Current Anthropology*, two flagship journals in the discipline. In recent years, she has served as the sole anthropologist to write for National Public Radio's "13.7 Cosmos and Culture" blog. The scope of her work and the audience she reaches surely make her one of the leading public intellectuals at William & Mary.

Professor King's scholarship in biological anthropology is remarkable and wide ranging. Her research began with a focus on primatology and the evolution of communication, research that she carried out through rigorous field research in Gabon and Kenya, as well as detailed observations in a number of zoological parks. Her interest in the evolution of language and social dynamics led her to develop path-breaking approaches to the evolution of gender and affect; this has culminated in her most recent prize-winning work on animal emotions, sentience, and sociality. She has published five books, has one more in press, and edited three volumes in her field. Professor King's work has been recognized with numerous international prizes; she has been a recipient of a Guggenheim Fellowship; and she capped her teaching career by delivering the Tack Faculty lecture in October of 2015 to a standing-room only crowd.

As accomplished as she is as a scholar and public intellectual, Professor King's teaching has been simply unsurpassed in her years at the College. The numerous prizes she has won for her teaching – including the Alumni Society Teaching Award, the Thomas Jefferson Teaching Award, and the Outstanding Faculty Award from the State

Council for Higher Education – only begin to tell the story of her teaching success. Through her brilliantly crafted sequence of courses on primate behavior, Professor King has supervised a remarkable group of undergraduates, a great many of whom have gone on to exceptional careers in anthropology departments around the world. Moreover, her students celebrate her effect on their lives long after they have departed William & Mary, and often write to let the department know what a profound impact her mentorship had on them as students, and as people. Professor King undoubtedly impressed upon them her commitment to them, as well as her devotion to the music of her fellow native New Jerseyan, Bruce Springsteen.

As a mentor, teacher, scholar and writer, Barbara King has been an invaluable colleague in the Department of Anthropology and the faculty of William & Mary.

BE IT RESOLVED, That the Board of Visitors acknowledges the retirement of Barbara J. King; expresses its appreciation for her many contributions to the College of William & Mary; and approves, with deep gratitude for her 28 years of service, a change in status from Chancellor Professor of Anthropology to Chancellor Professor of Anthropology, Emerita.

BE IT FURTHER RESOLVED, That the resolution be spread upon the minutes of the Board and a copy of the same be delivered to Professor King with best wishes for continuing and creative work in the years ahead.

COLLEGE OF WILLIAM AND MARY
RETIREMENT OF JUANITA JO MATKINS
SCHOOL OF EDUCATION

Juanita Jo Matkins joined the faculty of the School of Education in 2004 as an Assistant Professor of Science Education. With a B.S. from Towson State University, and M.Ed. and Ed.D. from the University of Virginia, Professor Matkins has devoted more than 40 years to education. Her influence on science education in the Commonwealth and beyond is substantial. Through her outstanding teaching and mentoring she has inspired countless numbers of practicing and future teachers to become effective science teachers in Virginia's schools. Although her accomplishments are many, Professor Matkins is perhaps best known for her stellar leadership of the Virginia Initiative for Science Teaching and Achievement (VISTA) program that teaches teachers how to incorporate problem-based, hands-on learning into their science lessons. VISTA's primary emphasis was to give teachers experience in planning and teaching science in a way that is connected to real-world problems and to provide opportunities for creativity and ingenuity on the part of the students.

The VISTA program was a partnership of more than 60 Virginia school districts, the Virginia Department of Education and six Virginia universities, including lead institution George Mason University. Funded by a five-year, \$34 million grant from the U.S. Department of Education, VISTA trained nearly 200 teachers from 2011-2015. Few initiatives have had such significant influence in the public education within the Commonwealth.

Professor Matkins was also a principal investigator for a National Science Foundation grant for that established the Noyce Scholars Program at William & Mary, and a grant from the Department of Education that established the Teachers for a Competitive Tomorrow (TCT) Teaching Fellows Program at the College. These grants are the result of collaborative efforts between the School of Education and the Faculty of Arts & Sciences. Upon the College receiving the initial funding for these two projects, President Reveley noted, "These grants from the National Science Foundation and the U.S. Department of Education make clear, once again, the College's preeminence in training K-12 teachers. It's especially good that the grants hinge on collaboration among our education, math and science faculties."

Additionally, Juanita Jo Matkins has been a principal or co-principal investigator for funded projects totaling approximately \$20 million; she has clearly been a major influence on STEM-related education in Virginia. She has also impacted STEM education through her many published refereed journal articles, numerous books, and large number of professional presentations and workshops.

BE IT RESOLVED, That the Board of Visitors acknowledges the retirement of Juanita Jo Matkins; expresses its appreciation for her many contributions to the College of William & Mary; and approves, with deep gratitude for her eleven years of service, a change in status from Professor of Education to Professor of Education, Emerita.

BE IT FURTHER RESOLVED, That the resolution be spread upon the minutes of the Board and a copy of the same be delivered to Professor Matkins with best wishes for continuing and creative work in the years ahead.

COLLEGE OF WILLIAM AND MARY
RETIREMENT OF TERRY L. MEYERS
DEPARTMENT OF ENGLISH

Terry L. Meyers received his B.A. from Lawrence University with a major in English, and earned his M.A. and Ph.D. in English from the University of Chicago. He joined the faculty of the College of William & Mary in 1970 as an Instructor; in 1973, he became an Assistant Professor, and was tenured and promoted to Associate Professor in 1979. In 1994, he was promoted to Full Professor, and since 2009 he has been a Chancellor Professor in English.

Professor Meyers was socialized into an institution where faculty rights and governance are highly valued and universally expected. He has worked, untiringly, to hold firm to the idea that the faculty are the core of the College and should be deeply involved and effective in every corner of its being. He has never shied away from controversial causes – he has always had the courage of his convictions. His earliest campaign at the College involved making the costs of our sports program transparent. He succeeded in this effort, although he did not stave off the sports program's ultimate expansion. Most recently, Professor Meyers worked to get the College to confront its full history in racial matters, from slavery onward. As a result, the Board of Visitors offered its support for the establishment of The Lemon Project: A Journey of Reconciliation. The Project is named for Lemon, a man who was once enslaved by the College of William & Mary. An ongoing endeavor, this program encourages scholarship on the 300-year relationship between African Americans and the College, and builds bridges between the College and Williamsburg and Greater Tidewater area.

In addition to campaigning for change at William & Mary, Professor Meyers has also done yeoman service in departmental administration. He served as chair of the English department from 1995 to 2001, and as interim chair of the Philosophy department from 2007 to 2010.

Professor Meyers' achievement as a teacher was recognized by a Thomas Jefferson Teaching Award and Alumni Fellowship. In scholarship, he has established himself as an international authority on Victorian poetry and in particular on the poet Algernon Swinburne (1837-1909). Professor Meyers has edited a critically respected multi-volume edition of Swinburne's uncollected correspondence. Professor Meyers' numerous articles, many on Swinburne, have appeared in major journals including *Modern Philology*, *The Review of English Studies*, and the pre-eminent journal in his field, *Victorian Poetry*.

BE IT RESOLVED, That the Board of Visitors acknowledges the retirement of Terry L. Meyers; expresses its appreciation for his many contributions to the College of William & Mary; and approves, with deep gratitude for his 46 years of service, a change in status from Chancellor Professor of English to Chancellor Professor of English, Emeritus.

BE IT FURTHER RESOLVED, That the resolution be spread upon the minutes of the Board and a copy of the same be delivered to Professor Meyers with best wishes for continuing and creative work in the years ahead.

COLLEGE OF WILLIAM AND MARY
RETIREMENT OF RICHARD H. PALMER
DEPARTMENT OF THEATRE, SPEECH AND DANCE

Richard H. Palmer received his B.A. from Princeton University with a major in English. He earned his M.A. and Ph.D. in Speech and Theatre from the University of Iowa. Professor Palmer joined the faculty of the College of William & Mary in 1980 as a Professor of Theatre and Speech, after teaching for sixteen years at Washington University in St. Louis.

Professor Palmer has served the College community in countless ways. He has been on a number of College-wide and Arts & Sciences committees, including Admissions Policy, Educational Media, Educational Policy (chair), Faculty Assembly (chair, Committee on Committees), Faculty Hearing (Grievance), Library Advisory, Prizes and Awards (chair), Promotion Retention, and Tenure, Faculty Research, and the Self-Evaluation (decennial) Steering Committee. Professor Palmer has also been a highly effective, long-standing member of the Department of Theatre, Speech, and Dance, having served as chair of Theatre and Speech for over ten years, and as Artistic Director of The William & Mary Theatre and General Manager of the Virginia Shakespeare Festival. He has contributed to numerous important committees within the department, including the Retention, Promotion and Tenure Committee, Departmental Assessment, and the Curriculum Committee. He has been involved in the hiring of every faculty appointment within the department since 1980. Professor Palmer has served the profession as an officer of Phi Beta Kappa, Alpha of Virginia, on the Executive Board of the Southeastern Theatre Conference, as President and Vice President of the Virginia Theatre Conference and as a consultant on new theatre structures.

As a scholar, Professor Palmer's research interests and publications have focused on dramatic theory, theatre history, design and criticism. He has been awarded four research leaves since 1985. He has been the Managing Editor of *Theatre Annual*, a *Journal of Performance Studies*, since 1996. His creative work is also notable: he has directed 45 productions for the William & Mary Theatre and the Virginia Shakespeare Festival, and designed another 20+ productions.

The major focus of Professor Palmer's career, however, has been on our students. His passion for teaching has remained undiminished over time. In recognition of this excellence, he was awarded the Phi Beta Kappa Teaching Award in 2014. Through his dedication, Professor Palmer has developed generations of informed, imaginative, and energetic theatre practitioners, sending dozens of students forward to pursue advanced study in theatre history, dramatic theory, and stage direction. His generosity as a mentor and an academic advisor are well documented,

and his high standards inform the work of his students and professional colleagues. His former students are now teaching, writing, performing and creating theatre all over the country.

BE IT RESOLVED, That the Board of Visitors acknowledges the retirement of Richard H. Palmer; expresses its appreciation for his many contributions to the College of William & Mary; and approves, with deep gratitude for his 36 years of service, a change in status from Professor of Theatre to Professor of Theatre, Emeritus.

BE IT FURTHER RESOLVED, That the resolution be spread upon the minutes of the Board and a copy of the same be delivered to Professor Palmer with best wishes for continuing and creative work in the years ahead.

COLLEGE OF WILLIAM AND MARY
RETIREMENT OF CHARLES PERDRISAT
DEPARTMENT OF PHYSICS

Charles Perdrisat came to William & Mary in the Fall of 1966, after a three-year post-doctoral appointment at the University of Illinois, Urbana-Champaign. He discovered William & Mary after attending a conference here organized by Professor R.T. Siegel earlier that spring, in preparation of a research program at the then new Space Radiation Effect Laboratory (SREL) in Newport News (built by NASA Langley, but administered by the trio of Virginia physics departments with graduate programs: University of Virginia, Virginia Polytechnic Institute and William & Mary); this proton accelerator was exactly the kind of facility with which he wanted to study the structure of light nuclei like Deuterium, Helium and Lithium.

This was a time of transition in the William & Mary Physics Department, as the graduate program had started just a year earlier. The department had been enriched by the hiring of a number of young Ph.D.s, new courses had been defined to make this transition possible, all under the efficient leadership of Professor Rolf Winter. Professor Perdrisat had the opportunity to teach new courses like "the Physics of Music" and "Historical Development of Astronomy/Cosmology," as well as basic courses such as Introductory Physics, Classical Mechanics and Classical Electromagnetism, and Quantum Mechanics.

After ten years of operation, SREL completed its mission and was closed around 1980. Over the next decade Professor Perdrisat did experiments in Vancouver (TRIUMF), Los Alamos (LAMPF), in Switzerland at the SIN laboratory (now Paul Scherrer Institute, PSI), and the SATURNE accelerator in Saclay, near Paris. This led to contacts with Russian physicists in Dubna in 1991, after discovering shared interests in using beams of polarized protons to investigate the structure of the lightest nuclei, and of the proton and neutron themselves. Of particular importance were the two research leaves he received in the 1970s (ETH, Zurich) and 1980s (Laboratoire SATURNE, Saclay France); these were essential to his development as a teacher and a researcher.

The creation in the late 1990s of Jefferson Lab (JLab), the national facility in Newport News which produces intense beams of polarized electrons up to ten times more energetic than previously available, opened the way to investigating the details of the internal structure of the nucleons themselves, to distances much smaller than the nucleon size. The JLab experiments initiated by Professor Perdrisat and his closest collaborators at the time, Dr. V. Punjabi (a W&M Ph.D. graduate, now a professor at Norfolk State University), Dr. M.K. Jones (senior research staff physicist at JLab), and Dr. E. Brash (professor at Christopher Newport University), have led to the discovery of

a startling manifestation of the proton's structure, closely related to its quark constituents, and in stark disagreement with previous data obtained by less sensitive methods started by Nobel prize winner Robert Hofstadter in the 1950s at Stanford. This first experiment was followed by two more, which extended the energy transferred to the proton (and hence sharpening the localization of the interaction) by a factor of three. The series of papers relating and discussing these results has gathered the largest number of citations of any experiment at JLab to date. Professor Perdrisat's over 200 papers have been cited more than 7,500 times in the literature, and he is a Fellow of the American Physical Society.

These experiments have led to a number of Ph.D. theses. Professor Perdrisat has supervised ten students who received their Ph.D. in the Physics department at William & Mary, starting with experiments at SREL, in Vancouver and Los Alamos, as well as Saclay and JLab. As one of the leading researchers in the Physics department, his scientific contributions, over a 50-year career here, are a shining example of continued excellence. He has helped lead the vigorous development of the Physics department since the inception of its Ph.D. program, and his retirement truly marks the end of an era. He will be missed.

BE IT RESOLVED, That the Board of Visitors acknowledges the retirement of Charles Perdrisat; expresses its appreciation for his many contributions to the College of William & Mary; and approves, with deep gratitude for his 50 years of service, a change in status from Professor of Physics to Professor of Physics, Emeritus.

BE IT FURTHER RESOLVED, That the resolution be spread upon the minutes of the Board and a copy of the same be delivered to Professor Perdrisat with best wishes for continuing and creative work in the years ahead.

COLLEGE OF WILLIAM AND MARY
RETIREMENT OF GARY W. RICE
DEPARTMENT OF CHEMISTRY

Gary W. Rice received his B.S. in chemistry from James Madison University in 1976 and earned his Ph.D. in analytical chemistry from Iowa State University in 1981. After a postdoctoral fellowship at Ames National Laboratory, he joined the College in 1984. Professor Rice was promoted to Associate Professor in 1990, served as department chair from 2001-09 and as interim chair in fall 2014.

As an analytical chemist, Professor Rice quickly began efforts to modernize the undergraduate educational experience in the quantitative area. Prior to his arrival, chemical analysis was taught from an outdated "wet chemical" perspective. He transformed the emphasis to modern, sophisticated and precise instrumental techniques. Since that time, Professor Rice has continued to keep abreast of the latest developments in an ever-changing high-tech field. Furthermore, he has continually and tirelessly spearheaded the department's efforts to keep our analytical equipment functional and current. In fact, in the past year, he tested and purchased modern digital technology to completely replace outdated tools for both collecting and plotting data in the lower division general chemistry laboratories.

Professor Rice is among the most successful teachers in the department. Previous College-wide recognitions include the Alumni Fellowship Award in 1990 and the University Professorship for Teaching Excellence in 1996 – he is one of the first faculty so honored. Notably, he has successfully taught courses across the entire Chemistry curriculum, from the largest introductory classes to the smallest upper level elective courses for majors. His lectures are uniformly praised by students for their combination of clarity, insight and sheer fun. He is renowned for his larger-than-life persona in lecture, playing the "mad scientist" for chemical demonstrations, dressing as Santa Claus at the end of the semester and delighting audiences in departmental magic shows.

Professor Rice's research is primarily in the area of environmental analytical chemistry and external support for his research exceeds \$1 million. He has had a long-standing relationship with faculty members at the Virginia Institute of Marine Science and he recently collaborated with Virginia Tech scientists on 'lab-on-a-chip' projects.

Students in his lab learned about careful handling of samples, the chemical and electronic workings of analytical instrumentation, and the limitations of analytical technology. He has mentored more than 150 students in research, and many of these students now hold key positions in academics, industry and government.

BE IT RESOLVED, That the Board of Visitors acknowledges the retirement of Gary W. Rice; expresses its appreciation for his many contributions to the College of William & Mary; and approves, with deep gratitude for his 32 years of service, a change in status from Associate Professor of Chemistry to Professor of Chemistry, Emeritus.

BE IT FURTHER RESOLVED, That the resolution be spread upon the minutes of the Board and a copy of the same be delivered to Professor Rice with best wishes for continuing and creative work in the years ahead.

COLLEGE OF WILLIAM AND MARY
RETIREMENT OF W. LARRY VENTIS
DEPARTMENT OF PSYCHOLOGY

Professor Ventis received his B.S., M.A., and Ph.D. in Psychology from the University of Tennessee. He completed his clinical internship at the Palo Alto, California Veterans Affairs (VA) Hospital. His first and only faculty position was at the College of William & Mary, where he was hired in 1969. His position was a joint appointment in the Counseling Center and the department of Psychology. He earned tenure in 1975 and was promoted to the rank of Professor in 1985. He became a full-time faculty member in the Psychology department in 1987.

Professor Ventis has had an illustrious career as a Clinical Psychologist whose research has focused on the therapeutic application of humor in systematic desensitization for the treatment of phobias. Professor Ventis also found that humor has been used in counter-therapeutic ways to make people feel more comfortable with risk-taking behaviors. As a testament to the respect he garners in his field, he has been a member of the executive board of the International Society for Humor Studies for six years, and a member of the board of directors of the Workshop Library on World Humor for 13 years. He is currently the president of the International Society for Humor Studies. Professor Ventis has also maintained an active research interest in the psychology of religion, and he was a co-author of a widely used text on the topic. As one example of this interest, he developed the Christian Humanist Implicit Association Test, which assesses unconscious religious attitudes.

Through his active research program, Professor Ventis has been an important mentor to countless graduate students in the Psychology department's M.A. program as well as to doctoral students in the Virginia Consortium doctoral program. He has chaired seven Honors theses (on 20 committees), nine M.A. theses (on 17 committees), and seven Psy.D. dissertations (on 20 committees). He has been instrumental in launching many successful clinical psychologists, some of whom have gone on to careers in academia and others to clinical practice. One particularly outstanding example of Professor Ventis' dedication to mentoring is his 42 years of being a freshman advisor, starting in 1974. Truly, this is a clear demonstration of his enduring dedication and commitment to serving the students of the College.

Professor Ventis has a long history of steadfast commitment to service and as a tribute to his dedication, he was awarded the Arts & Sciences Governance Award in the Spring of 2015. He was the chair of the Psychology department from 1999 to 2005; under his leadership, the department became more scientifically- and research-based, an important culture shift that has continued to present times. He has been a member or chair of the department's Personnel Committee for a total of twenty years, attesting to

the respect he garners in the department since this is an elected position. Professor Ventis also played a significant role in the development and operations of the four-institution consortial doctoral program in Clinical Psychology in which the Psychology department was an integral member for 35 years. At the College level, Professor Ventis has served on 19 different committees, often for multiple years and in the capacity as chair.

In sum, Professor Ventis has been a pillar in the Psychology department. His dry sense of humor, vast administrative experience and wisdom will be sorely missed by his colleagues. He has served the students and the College with high levels of distinction and honor for almost a half century; a truly remarkable and laudable accomplishment.

BE IT RESOLVED, That the Board of Visitors acknowledges the retirement of W. Larry Ventis; expresses its appreciation for his many contributions to the College of William & Mary; and approves, with deep gratitude for his 47 years of service, a change in status from Professor of Psychology to Professor of Psychology, Emeritus.

BE IT FURTHER RESOLVED, That the resolution be spread upon the minutes of the Board and a copy of the same be delivered to Professor Ventis with best wishes for continuing and creative work in the years ahead.

COMMITTEE ON ADMINISTRATION, BUILDINGS AND GROUNDS

February 4, 2016

9:55 – 10:45 a.m.

Board Room - Blow Memorial Hall

Ann Green Baise, Chair
John Charles Thomas, Vice Chair

- I. Introductory Remarks – Ms. Baise
- II. Approval of Minutes – November 19, 2015
- III. Report from Building Official – David W. Rudloff. Enclosure F.
- IV. Report from Virginia Institute of Marine Science – Dean/Director John T. Wells
 - A. Capital Outlay Project Progress Report. Enclosure G.
- V. Report from Senior Vice President for Finance and Administration – Samuel E. Jones
 - A. Capital Outlay Project Progress Report. Enclosure H.
 - B. Optional Retirement Plan/Virginia Retirement System Update
 - C. Resolution to Approve Demolition of Millington Hall. **Resolution 18**.
 - D. Resolution to Approve Demolition of Lodges. **Resolution 19**.
 - E. Resolution to Approve Non-General Fund Capital Projects. **Resolution 20**.
- VI. Closed Session (if necessary)
- VII. Discussion
- VIII. Adjourn

COMMITTEE ON ADMINISTRATION,
BUILDINGS AND GROUNDS
MINUTES – NOVEMBER 19, 2015

MINUTES
Committee on Administration, Buildings & Grounds
November 19, 2015
Board Room – Blow Memorial Hall

Attendees: Ann Green Baise, Chair; William H Payne, II; Karen Kennedy Shultz; DeRonda M. Short. Board members present: Rector Todd A. Stottlemeyer, Kendrick F. Ashton, Jr., Lynn M. Dillon, Sue H. Gerdelman, Christopher M. Little; Karen Kennedy Schultz, Robert E. Scott, H. Thomas Watkins III, faculty representative Suzanne Raitt and student representative Yohance Whitaker. Others present: President W. Taylor Reveley, III; Provost Michael Halleran; Virginia M. Ambler, Kiersten L. Boyce, Henry R. Broadus, Edward C. Driscoll, Jr., Kent B. Erdahl, Michael J. Fox, W. Fanchon Glover, Samuel E. Jones, Matthew T. Lambert, Jennifer B. Latour, Deborah A. Love, Sarah E. Melchior, Dean Kate Conley, Dean Davison T. Douglas, Dean John T. Wells, Brian T. Whitson, Sandra J. Wilms, and other College and VIMS faculty and staff.

Chair Ann Green Baise called the meeting to order at 2:00 p.m. Recognizing that a quorum was present, Ms. Baise requested a motion to approve the minutes of the September 17, 2015, meeting. Motion was made by Mr. Payne, seconded by Ms. Shultz, and approved by voice vote of the Committee.

Ms. Baise introduced the Building Code Official, David W. Rudloff, who provided the Committee with a verbal report. The Committee had no questions.

Dean John T. Wells provided highlights from VIMS' written report on capital outlay projects, as detailed in Enclosure D. He updated the status of design and construction on the Bay Eagle replacement vessel (by 2017). He also reported on Hurricane Joaquin preparations and the impact on the VIMS main campus and Eastern Shore campus of Wachapreague.

Senior Vice President for Finance and Administration Samuel E. Jones had no additional highlights to the College's written capital outlay project progress report, as detailed in Enclosure E.

Mr. Jones reviewed **Resolution 10**, Resolution to Approve Easement for New Transformer for Zable Stadium Underground Electric Facilities: Virginia Electric and Power Company. Ms. Baise asked for a motion to approve the resolution and recommend it to the full Board for adoption. Motion was made by Ms. Schultz, seconded by Mr. Payne, and approved by voice vote of the Committee.

Mr. Jones also provided an update on the additional funding request for Tyler Hall. Bureau of Capital Outlay Management (BCOM) has made their recommendation, and authorization is pending approval by the Commonwealth's Director of Planning & Budget.

Ms. Baise moved that the Committee on Administration, Buildings and Grounds convene in Closed Session for the purpose of discussing reports or plans related to the security of any governmental facility, building or structure or the safety of persons using such facility, building or structure, as provided for in Section 2.2-3711.A.19., of the Code of Virginia. Motion was

Committee on Administration, Buildings and Grounds
MINUTES
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seconded by Mr. Payne and approved by voice vote. Observers were asked to leave the room and the Committee went into closed session at 2:18 p.m.

The Committee reconvened in open session at 3:10 p.m. Ms. Baise 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 Mr. Payne and approved by roll call vote conducted by Secretary to the Board Michael Fox. (Certification **Resolution** is appended.)

The reports completed, and there being no further business, the Committee adjourned at 3:10 p.m..

November 19, 2015

CERTIFICATION OF CLOSED SESSION

WHEREAS, the Board of Visitors Committee on Administration, Buildings and Grounds 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 Administration, Buildings and Grounds, 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 Administration, Buildings and Grounds.

VOTE

AYES: 4

NAYS: 0

ABSENT DURING CLOSED SESSION:



Ann Green Baise
Chair
Committee on Administration, Buildings and Grounds

Board of Visitors

Enclosure F

February 3-5, 2016

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Interdepartmental Communication

Department of Facilities Management

To: Ann Green Baise, Chair, Committee on Administration, Buildings and Grounds

From: David W. Rudloff, College Building Official

Date: January 11, 2015

Re: College Building Official Report/January 2016

All business has been routine and is proceeding smoothly; there are no significant issues to report.

Since the previous Board meeting November 2015, we have completed Code review of construction documents and issued a building permit for the following project:

- Ewell Hall Elevator

There were no Temporary Certificates of Use and Occupancy issued since the November Board Meeting.

Final construction completion documents were issued for the following projects:

- Ewell Hall Toilet Renovation
- William & Mary Hall Men's Soccer Locker Room Renovation
- Braxton House Demolition
- Barrett Hall HVAC

During this time period, there were no Projects that were issued permanent Certificates of Use and Occupancy.

Please let me know if there are any questions I might answer. If not, thank you for the opportunity to report.

VIRGINIA INSTITUTE OF MARINE SCIENCE CAPITAL OUTLAY PROJECT PROGRESS REPORT

268 - 18088 Facilities Management Building

Appropriation Amount: \$1,100,000

Biennium: 2014-2016

Design Team: RRMM

Obligated to Date: \$786,416

Fund Sources: Higher Education Operating

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: The Bureau of Capital Outlay Management (BCOM) has completed their cost analysis and provided a funding report which matched our budget request of \$7.1M. The project is in working drawings and is tentatively scheduled for submittal to the Code Review Team (CRT) in March 2016.

268 - 17950 Research Vessel

Appropriation Amount: \$10,050,000

Biennium: 2012-2014

Design Team: JMS Naval Architects

Obligated to Date: \$681,499

Fund Sources: VCBA Bonds

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 has submitted the Contract Drawings to VIMS for review. Advertising for pre-qualification of shipyards is scheduled for February 2016. Award of a construction contract is expected in May 2016.

268 - 17993 Consolidated Scientific Research Facility

Appropriation Amount: \$13,553,021

Biennium: 2012-2014

Design Team: Moseley Architects

Obligated to Date: \$1,226,443

Fund Sources: VCBA Bonds

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:

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Information Technology, Marine Advisory Services, Virginia Sea Grant, Center for Coastal Resources Management, and the Publications/Communications Center in a single facility.

Progress: VIMS is waiting for a cost proposal from the archaeological firm for completing the remaining archaeology investigation phases. The working drawings were submitted to CRT in January 2016 for their review.

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 G

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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
	Total:	\$901,816
<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: Greenhouse structural work is complete. Electrical and HVAC installation is in progress. "Above ceiling and in-wall" mechanical and electrical rough-ins are being completed on all floors, and ceilings and walls are being closed and finished. Construction completion remains scheduled for summer, 2016. Demolition of Millington Hall 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: \$16,277,852

Contractor: W.M. Jordan

Funding Source: state

Obligated to date: \$14,852,928

Description: The project reconfigures and improves 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, mechanical/electrical rough-in, and ceiling/wall closure are in progress on all floors. Finishes will follow. 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.

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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. The legislature directed DEQ to complete an evaluation of PMF, which was provided on December 9th. Guidance will be issued to the College sometime in March, 2016. Design will resume following state guidance on design standards and the authorization of additional 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 a second set of DEQ comments have been provided and are awaiting review and approval by DEQ Central. The design of supporting projects began in December with field survey. 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 that can be constructed during the academic year without significant impact to campus operations and those that are better executed during the summer sessions.

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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 a north wing addition.

Progress: The Law School requested that mobilization and the start of construction begin after 1st term exams. Construction began on Dec 19th. Site, below ground utility installation and foundation construction are complete. Slab placement and structural framing are in progress. Construction is anticipated to be complete by November, 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 installation, lower concourse concessions and restroom shells and the north stair tower are complete. Upper deck seating framing has been installed. The new concessions/restroom facility located inside the north arcade is complete. All remaining construction to include west stands seating, suites, upper concourse and press box will be complete prior to the 2016 season.

204 – 18100-01 Renovate: One Tribe Place Addition

Design Team: Clark Nexsen

Biennium: 2014–2016

Budget: \$8,000,000

Contractor: Kjellstrom & Lee

Funding Source: CWM debt

Obligated to Date: \$1,281,514

Description: The residential space in the 1984 addition (90 beds) will be replaced 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 is underway. Construction is anticipated to require twelve months.

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: Schematic design was approved by the Design Review Board on 12/17 and by the Art and Architectural Review Board on 1/8/16. 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/VCBA

Obligated to Date: \$75,003

Description: The new facility will be approximately 11,500 gsf, and 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: Schematic design will be reviewed by the DRB on 2/3/16 and the AARB on 3/4/16. 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.

February 3-5, 2016

Page 5 of 7 **“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: private funds	Obligated to Date: \$85,906

Description: Develop 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: private funds	Obligated to Date: \$10,772

Description: Develop 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, spectator seating and associated support space have also been programmed.

Progress: The study was completed by September, 2015. The proposed site selection (attached to the southwest corner of William & Mary Hall) and design intent for the 36,000 gsf facility were approved by the DRB on 11/18/15.

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Page 6 of 7 **204 – 0012 – 001 - 15 Study: Alumni House Addition**

Design Team: Glave & Holmes

Biennium: 2016-2018

Budget: \$74,765

Contractor: TBD

Funding Source: private funds

Obligated to Date: \$54,465

Description: Develop a recommended space program and conceptual project budget for the expansion of the Alumni Center. The addition will augment the existing facility to create a welcome center for Alumni, as well as event spaces, including seated dining for 400 guests.

Progress: The study was completed by September, 2015. The proposed site selection and design intent were presented to the Design Review Board at their September meeting and approved.

204 – 0000 – XXX-16 Plan: Muscarelle Museum Feasibility

Design Team: TBD

Biennium: 2016-2018

Budget: TBD

Contractor: TBD

Funding Source: private funds

Obligated to Date: \$0

Description: Develop expansion or replacement of the existing museum.

Progress: A building committee is being established in order to begin development and feasibility of a project plan.

204-12713 Maintenance Reserve

Funding Source: VCBA (0817)

2012 -14	Carry Over:	\$1,297,565
2015	Appropriation:	\$1,948,551
2016	Appropriation:	\$2,072,544
	Total:	\$5,318,660

<u>Spent to Date</u>	<u>(\$3,128,374)</u>
	\$2,190,286

<u>Remaining Project Commitments</u>	<u>(\$2,003,320)</u>
Maintenance Reserve Fund Balance	\$186,966

February 3-5, 2016

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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 – 16002 Dillard Library Storage HVAC

Projects completed:

- 204 – 15001 College Apts Roof Repair
- 204 – 16003 McGlothlin-Street HE Lab Compressor
- 204 – 16004 Ewell Hall Catwalk

**RESOLUTION TO APPROVE DEMOLITION
OF MILLINGTON HALL (FAACS # 00117)**

WHEREAS, the College of William and Mary requests Board of Visitors' approval to demolish 500 Landrum Drive, also known as Millington Hall; and

WHEREAS, Millington Hall was constructed in 1960 as the Biology Building and used for Biology and Psychology until the present time; and

WHEREAS, the College received construction funding to renovate and expand the two major science facilities, Millington Hall and Rogers Hall in 2002; and

WHEREAS, during the planning and design phase of Millington Hall, the Department of General Services (DGS), through its division of the Bureau of Capital Outlay Management (BCOM) recommended that the building **not** be renovated due to inadequate floor to floor dimensions which could not accommodate modern ventilation and exhaust systems necessary for the safe operation of new laboratories, thus rendering the structure obsolete; and

WHEREAS, the Millington Hall renovation project evolved into the Integrated Science Center 1 & 2 (ISC 1 & 2) project which could incorporate Rogers Hall but not Millington; and

WHEREAS, Commonwealth approval and funding for ISC 1 & 2 were contingent on College officials agreeing to demolish Millington Hall, and funding for such demolition was incorporated into the build-out of the Integrated Science Center 3 (ISC 3); 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*, as renewed in 2009 and 2013; and

WHEREAS, the Agreement authorizes the College's Board of Visitors to approve demolition of buildings subject to review by the Commonwealth's Art and Architectural Review Board and the Department of Historic Resources; and

WHEREAS, under the Agreement, the College has established policies and procedures for the demolition of buildings and structures, including review by the Commonwealth's Art and Architectural Review Board and the Department of Historic Resources; and

THEREFORE, BE IT RESOLVED, By the Board of Visitors of The College of William and Mary in Virginia, that the proposed demolition of Millington Hall (FAACS # 00117) is approved in accordance with established policies and procedure; and

BE IT FURTHER RESOLVED, That the Senior Vice President of Finance and Administration, the Associate Vice President for Facilities Management, the College Building Official, and their respective staffs, are authorized to take all actions necessary to remove the building, in accordance with established policies and procedure.

**RESOLUTION TO APPROVE DEMOLITION
OF LODGES (FAACS # 00045 – 00052)**

WHEREAS, the College of William and Mary requests Board of Visitors' approval to demolish the Lodges, also known as 240 B (FAACS 00045), 240 C (FAACS 00047), 240 D (FAACS 00048), 240 E (FAACS 00049), 240 F (FAACS 00050), 240 G (FAACS 00051), 240 H (FAACS 00052) Gooch Drive; and

WHEREAS, the Lodges were built in the 1940's for the purpose of housing students, including Fraternities, and Lodge 2 (240 A Gooch Drive, FAACS 00043), also known as the Daily Grind, will remain in place; and

WHEREAS, the College's 2015 Campus Master Plan, as approved by the Board of Visitors in February 2015, calls for demolition of the Lodges in order to provide a building site for the (then) proposed Integrative Wellness Center; and

WHEREAS, the Integrative Wellness Center was authorized and appropriated by the 2015 General Assembly (project code: 204-18192); and the project schedule calls for clearing the site in summer of 2016; 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*, as renewed in 2009 and 2013; and

WHEREAS, the Agreement authorizes the College's Board of Visitors to approve demolition of buildings subject to review by the Commonwealth's Art and Architectural Review Board and the Department of Historic Resources; and

WHEREAS, under the Management Agreement, the College has established policies and procedures for the demolition of buildings and structures;

THEREFORE, BE IT RESOLVED, By the Board of Visitors of the College of William and Mary in Virginia, that the proposed demolition of the Lodges (FAACS # 00045 – 00052) is approved in accordance with established policies and procedure; and

BE IT FURTHER RESOLVED, That the Vice President of Administration, the Associate Vice President for Facilities Management, the College Building Official, and their respective staffs, are authorized to take all actions necessary to remove the building, in accordance with established policies and procedure.

**COLLEGE OF WILLIAM AND MARY
RESOLUTION TO APPROVE NON-GENERAL FUND CAPITAL PROJECTS:**

**Improve Muscarelle Museum
Expand Alumni Center
Construct Aquatic Center
Construct Basketball Practice Facility**

WHEREAS, from time to time, the College requires the authorization capital projects outside of the normal Commonwealth biennial cycle; and

WHEREAS, the 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 (the "Act"), as renewed, requires the Board of Visitors to approve any capital projects meeting the definition; and

WHEREAS, the Agreement allows the Board of Visitors to authorize at any time only non-general fund, no-debt projects without the approval of the Governor, the General Assembly, or any other Commonwealth agency; and

WHEREAS, the Agreement requires the Board of Visitors to seek General Assembly approval of any non-general fund debt authority; and

WHEREAS, under the Agreement, the College has established the appropriate policies and procedures to initiate, develop, manage and complete such projects; and

WHEREAS, the College has developed private fund solicitations in support of the prior named projects under its recently launched fund raising campaign *For the Bold*; and

WHEREAS, actual project initiation shall be subject to receipt of sufficient gifts, in accordance with College policy and practice;

THEREFORE, BE IT RESOLVED, By the Rector and the Board of Visitors of The College of William and Mary in Virginia, that the capital projects so listed in this resolution are now authorized in accordance with all authorities, policies, and procedures in force and necessary under the Agreement; and

FURTHER RESOLVED, That the Board of Visitors authorizes the Senior Vice President for Finance and Administration and his staff to pursue all necessary steps for the accomplishment of said project(s), upon completion of fund raising.

Improve Muscarelle Museum**\$20.0- \$40.0 M**

This project supports the improvement of the museum, whether through renovation and expansion, or by replacement, pending program development during a preplanning effort that will begin in late winter of 2016. This project, depending on its complexity, will likely take 10 to 15 months to design, following completion of the preplanning. The time to construct is wholly dependent on size, scope and any phasing required.

Construct Alumni Center**\$13.5 M**

Following completion of a preplanning study, the project envisioned supports the 19,540 GSF expansion of the Alumni Center, which will maintain the features of the main house while adding pre-function and banquet space for 400, in addition to outdoor terraces and plazas for events. The project will take approximately 12 months to design and 13 months to construct.

Construct Aquatic Center**\$20.9-\$25.65 M**

Following completion of a preplanning study, the project developed supports the construction of a “stretch 25” or a 50 meter pool facility on the southwest corner of William & Mary Hall. The pool will contain a diving well and accommodations for up to 600 spectators. The project will require approximately 10 months to design and 14 months to construct.

Construct Basketball Practice Facility**\$19.6 M**

Following completion of a preplanning study, this project proposes construction of a 46,000 GSF facility on the northwest corner of William & Mary Hall (WMH) to accommodate the programs of Men’s and Women’s Basketball, as well as volleyball, gymnastics, Sports Medicine and academic compliance. The facility will take approximately 12 months to design and 14 months to construct.

COMMITTEE ON STRATEGIC INITIATIVES AND NEW VENTURES

February 4, 2016

10:45 – 11:45 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. Closed Session (if necessary)
- III. Legislative Update
- IV. Social Media Report
- V. Other Topics
- VI. Adjourn

JOINT MEETING

THE BOARD OF VISITORS
THE COLLEGE OF WILLIAM & MARY FOUNDATION
THE ALUMNI ASSOCIATION BOARD OF DIRECTORS
THE ANNUAL GIVING BOARD OF DIRECTORS

February 4, 2016
12:15 – 4:15 p.m.

Matoaka Woods Room - School of Education

- I. Call to Order and Welcome – Todd A. Stottlemeyer, Rector
- II. Working Lunch
- III. Closed Session
- IV. Q&A with President Taylor Reveley and Rector Todd Stottlemeyer
- V. Other Business
- VI. Closing Remarks
- VII. Adjourn

JOINT MEETING

February 4, 2016

4:15 – 5:30 p.m.

Dogwood Room – School of Education

COMMITTEE ON ATHLETICS

H. Thomas Watkins III, Chair

DeRonda M. Short, Vice Chair

W&M FOUNDATION ATHLETIC SUB-COMMITTEE

Craig P. Staub, Chair

Maryellen F. Feeley, Vice Chair

- I. Introductory Remarks – Mr. Watkins and Mr. Staub
- II. Approval of Minutes
 - A. CWM Foundation Athletics Sub-committee – October 22, 2015
 - B. BOV Committee on Athletics – November 19, 2015
- III. Closed Session (if necessary)
- IV. Update on Summits – Plan for Each Sport
- V. Tribe Club Survey
 - A. Review Survey Results
 - B. Implications from Data
- VI. Women in Action
 - A. Update: Newsletter, Leadership Council, Events
- VII. Other Business
- VIII. Adjourn

COMMITTEE ON ATHLETICS
MINUTES – NOVEMBER 19, 2015

MINUTES
Committee on Athletics
November 19, 2015
Board Room - Blow Memorial Hall

Attendees: H. Thomas Watkins III, Chair; DeRonda M. Short, Vice Chair, Kendrick F. Ashton, Jr., Thomas R. Frantz and Sue H. Gerdelman. Board members present: Rector Todd A. Stottlemeyer; Ann Green Baise, Lynn M. Dillon, Christopher M. Little, William H. Payne II, Karen Kennedy Schultz, Robert E. Scott, faculty representative Suzanne Raitt and student representative Yohance D. Whitaker. Others present: President W. Taylor Reveley III, Virginia M. Ambler, Henry R. Broaddus, Edward C. Driscoll, Jr., Kent B. Erdahl, Michael J. Fox, W. Fanchon Glover, Samuel E. Jones, Matthew T. Lambert, Brian W. Whitson, Sandra J. Wilms and other College staff.

Chair Tom Watkins called the meeting to order at 3:17 p.m.

Recognizing that a quorum was present, Mr. Watkins asked for a motion to approve the minutes of the September 17, 2015, meeting. Motion was made by Ms. Short, seconded by Ms. Gerdelman and approved by voice vote.

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 3:18 p.m.

The Committee reconvened in open session at 3:51 p.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.)

Following brief closing remarks, and there being no further business, the Committee adjourned at 3:54 p.m.

November 19, 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: 5

NAYS: 0

ABSENT DURING CLOSED SESSION:



H. Thomas Watkins III
Chair
Committee on Athletics

COMMITTEE ON FINANCIAL AFFAIRS

February 5, 2016

8:30 – 9:15 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 – November 20, 2015
- III. Closed Session (if necessary)
- IV. Report from Senior Vice President for Finance and Administration Samuel E. Jones
 - A. Overview of Governor McAuliffe's 2016-18 Budget Recommendations.
 - B. Summary of Operating and Capital Budget Amendments Submitted to the 2016 General Assembly. Enclosure I.
 - C. Cash Management Investment Policy. **Resolution 21**.
 - D. Corporate Resolution to Transact Business and Confirm Authorized Business Agents for the College of William and Mary. **Resolution 22**.
 - E. 2015-2016 Operating Budget Summary. Enclosure J.
- V. Report from Virginia Institute of Marine Science Dean John T. Wells
 - A. Summary of Operating Budget Amendments Submitted to the 2016 General Assembly. Enclosure K.
 - B. 2015-2016 Operating Budget Summary. Enclosure L.
- VI. Investment Portfolio Evaluation Overview - Joseph W. Montgomery, The Optimal Service Group of Wells Fargo Advisors
 - A. Investment Update for Periods Ending December 31, 2015. Enclosure M. (*see separate booklet*)
- VII. Discussion
- VIII. Adjourn

COMMITTEE ON FINANCIAL AFFAIRS
MINUTES – NOVEMBER 20, 2015

MINUTES
Committee on Financial Affairs
November 20, 2015
Board Room - Blow Memorial Hall

Attendees: Kendrick F. Ashton, Jr., Chair; John E. Littel, Vice Chair; Lynn M. Dillon; Thomas R. Frantz; Christopher M. Little; Robert E. Scott; H. Thomas Watkins III; and faculty committee representative Eric Chason. Board members present: Rector Todd A. Stottlemeyer; Ann Green Baise; Sue H. Gerdelman; Lisa E. Roday; Karen Kennedy Schultz, faculty representative Suzanne Raitt and student representative Yohance D. Whitaker. Others in attendance: President W. Taylor Reveley III; Provost Michael R. Halleran; Virginia M. Ambler; Henry R. Broadus; Kent B. Erdahl, Michael J. Fox; Samuel E. Jones; Matthew T. Lambert; Jennifer B. Latour, Deborah Love, Jeremy P. Martin; Sarah E. Melchior, Dean Davison T. Douglas, Dean John T. Wells; Brian T. Whitson, Sandra J. Wilms, and other College and VIMS staff.

Chair Kendrick Ashton convened the meeting at 8:45 a.m. Recognizing that a quorum was present, Mr. Ashton requested a motion to approve the minutes of the September 18, 2015 meeting. Motion was made by Mr. Scott, seconded by Mr. Watkins and approved by voice vote of the Committee.

Mr. Ashton outlined the topics of discussion for the meeting: continuation of the William & Mary Promise; receipt of the unaudited financial statements; report from John Poma, Chief Human Resources Officer, regarding potential VRS changes to higher education optional retirement plans; and a portfolio report from the Optimal Service Group of Wells Fargo.

Senior Vice President Jones provided the committee with a status report on the William & Mary Promise. The Promise continues to strengthen W&M as a “distinctive public ivy” while enhancing tuition affordability and predictability for in-state undergraduates. Revenue generated through the W&M Promise also allows the College to meet the goals of its Six-Year Plan which supports investment in faculty and staff salaries, need based financial aid, and other various academic enhancements. The administration proposed the continuation of the W&M Promise as the operating model for the University and that FY 2017 tuition for incoming in-state undergraduates be set at \$15,674. Action at this time allows the University to provide families with tuition information prior to admission offerings.

The FY 2015 draft Consolidated Financial Statements for the College of William and Mary and Richard Bland College were presented and received by the Board. The statements remain subject to audit by the Commonwealth’s Auditor of Public Accounts. In order to facilitate SACS re-accreditation, the APA expects to complete its work by the February 2016 Board meeting.

Following brief discussion, Mr. Ashton requested a motion to approve **Resolution 11**, Continuation: William & Mary Promise. Motion was made by Mr. Scott, seconded by Ms. Dillon, and approved by voice vote of the Committee.

Mr. Ashton then requested a motion to accept **Resolution 12**, 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, and **Resolution 13**, Receipt of the Financial Report of the Intercollegiate Athletic Department for the Fiscal Year Ended June 30, 2015. Motion was made by Mr. Scott, seconded by Ms. Dillon and approved by voice vote of the Committee.

Mr. Jones presented an overview of tuition and fees for FY 2015-16, comparing the College with its peers and other Virginia state institutions. It was noted the amounts “sticker prices” and do not include financial aid. The peer institutions are those approved by the State Council of Higher Education for faculty salary rankings. A brief discussion ensued.

Virginia Institute of Marine Science Dean and Director John Wells presented an overview of the VIMS’ FY 2016 budget, highlighting the sources and uses of revenue, as well as reviewing grant and contract expenditures and awards through FY 2015.

John Poma, Chief Human Resources Officer, presented to the Committee an overview of the proposed change to the VRS Optional Retirement Plan for Higher Education (ORPHE) which will impact a majority of faculty and professional staff. Effective Fall 2016, management of the ORPHE will be shifted from TIAA-CREF and Fidelity, the current administrators, to International City Management Association-Retirement Corp (ICMA-RC), which would become the sole record-keeper. As a result, VRS will not be able to offer TIAA annuity funds. TIAA-CREF is the preferred retirement vehicle in higher education due to the portability of individual contracts between different institutions. Elimination of the TIAA-CREF option would likely impact recruitment and potentially retention of faculty and staff. Reasons for the change, as proposed by VRS, include a savings in fees; improvement in management of the plan with a sole record keeper; separation of investment decisions from plan administration; and more investment choices for participants. According to Section 51.1-126.B.1 of the Code of Virginia, institutions of higher education are permitted to apply to VRS to opt out of the ORPHE and develop its own institutional plan. William and Mary administrators recently met with CapTrust, the financial consulting firm for other State universities that have opted out, to discuss a proposal to administer its own optional retirement plan. A meeting with VRS officials is scheduled for next week. A brief discussion ensued.

Joseph Montgomery, with the Optimal Service Group of Wells Fargo Advisors, was asked to report on the performance of the College’s endowment portfolio. The total value of the Board of Visitors’ assets, as of October 31, 2015, was \$77.9 million. The Optimal Service Group continues to work with the Investments Subcommittee on investment opportunities within current Board guidelines.

There being no further business, the Committee adjourned at 10:07 a.m.

COLLEGE OF WILLIAM AND MARY**SUMMARY OF OPERATING AND CAPITAL BUDGET AMENDMENTS
SUBMITTED TO THE 2016 GENERAL ASSEMBLY****Operating****FY 2017****FY 2018**

- Engineering & Design Initiative**

\$300,000 GF
2.00 FTE

\$500,000 GF
3.00FTE

This amendment requests additional funding for curriculum enhancements to promote new ways of learning, research and economic development by incorporating engineering degree principles (modeling, simulation, design) into existing courses. Building on the university's excellent outcomes for students engaged in science, mathematics, and allied technologies, this initiative provides opportunities for our students and faculty to make or render ideas into physical or functional forms and to design and build various devices or objects that are intended to solve specific problems. Rather than creating traditional degrees such as chemical, electrical, aeronautical, mechanical, civil, or industrial engineering, this initiative gives our students opportunities to become fully conversant with the tools, programs, and methods those disciplines deploy, familiar with "design thinking", and comfortable when working in design studios or entrepreneurial incubators.

- E-Learning Platform**

\$125,000 GF

\$260,000 GF

Having established the necessary eLearning platform to support blended and on-line instruction, additional opportunities exist to 1) expand eLearning options in selected programs in the professional schools and graduate programs; 2) identify high-quality digital educational resources that can be used in William & Mary courses; and 3) develop certificate, continuing education, and other extension activities and programming. New investment will focus around instructional design, providing the resources to allow additional faculty to move part or all of their courses on-line.

- Operation/Maintenance of New Facilities**

\$549,987 GF

\$552,472 GF

\$871,168 NGF

\$875,105 NGF

This request provides the funding necessary to support new or renovated facilities coming on-line during the 2016-18 biennium. In the summer of 2016, phase 3 of the Integrated Science Center will come on-line and the renovation of Tyler Hall will be complete. Fall, 2016 will see the opening of the Law School's new Experiential Learning Center. These new or renovated facilities will provide the campus with an additional 170,000 square feet of instructional and student support space.

Capital**• Fine and Performing Arts, Phase 1****To be funded from State-wide Pool**

This amendment authorizes planning for the construction of the Fine and Performing Arts, Phase I (music) project at William and Mary. This project is the first of three phases as the university improves the quality of its arts facilities while consolidating these functions into a single campus area (the “Arts Quarter”). Consistent with the Board-approved Master Land Use and Six-year Capital plans, phase I of the Arts Quarter is construction of a new music facility to serve as home to the university’s choral and instrumental programs. The proposed project, located adjacent to Phi Beta Kappa Hall, includes instructional, practice and instrument storage spaces as well as 450 and 125 seat recital/performance halls.

**COLLEGE OF WILLIAM & MARY
CASH MANAGEMENT INVESTMENT POLICY**

The Cash Management Investment Policy applies to the investment of operating funds belonging to the College of William & Mary and under the control of the College's appointed Board of Visitors. Under the Restructured Higher Education Financial and Administrative Operations Act, Chapter 4.10 (§23-38.105) of Title 23 of the Code of Virginia, the College, as a covered institution "may invest its operating funds in any obligations or securities that are considered legal investments for public funds in accordance with Chapter 45 (§2.2-4500 et seq.) of Title 2.2. Such institution's governing body shall adopt written investment guidelines which provide that such investments shall be made solely in the interest of the covered institution and shall be undertaken with the care, skill, prudence, and diligence under the circumstances then prevailing that a prudent person acting in a like capacity and familiar with such matters would use in the conduct of an enterprise of a like character and with like aims."

The College's operating funds and balances consist of tuition and fee revenue, expendable gift monies, endowment income, earned interest from investments, grants and sponsored research, rental income from owned properties, income received from external trusts, interest and dividends received on gifted securities, cash balances that reside in College auxiliary accounts and agency accounts, and generally any revenue received by the College of William & Mary that is deemed not to be state money and therefore subject to other mandatory depository restrictions of the State of Virginia. These institutionally ("locally") controlled operating funds are the basis of working capital from which the annual private fund and auxiliary budgets are constructed and they remain invested in short and intermediate term investments until such time as expenditures are drawn. Based on cyclical patterns of when revenue is received and funds subsequently disbursed, the invested balance of operating funds fluctuates monthly within a range between approximately \$50 million and \$100 million.

The Board of Visitors last reviewed its policy on cash management at its meeting on February 6-8, 2013. It is the practice of the College to review at least every three years its operational policies and guidelines to ensure that the authorizations contained therein are in keeping with the current thinking of the Board of Visitors.

All short term and intermediate term investments as disclosed in this policy are currently managed by SunTrust Bank (and its appointed sub-advisory institutions), the depository institution used by the College. Proposed amendments herein have been reviewed and endorsed by investment management professionals at SunTrust and its assigns. If the College were to use different service providers for cash management, these same investment guidelines would apply.

RESOLVED, That the Board of Visitors of the College of William & Mary in Virginia approves the amended guidelines as the Cash Management Investment Policy for institutional funds belonging to the College of William & Mary, superseding any existing policy under the same name.

The Board of Visitors of
The College of William & Mary

Cash Management Investment Policy

Purpose and Scope

The purpose of this Cash Management Investment Policy is to articulate the investment and operational guidelines and authorizations for the non-general operating cash balances and reserves, referred to as local or private funds, under the control and oversight of the Board of Visitors. This policy is crafted to adopt best practices in the prudent management of short **and intermediate**-term investments, complying with laws and regulations applicable to qualified public entities in Virginia. Accordingly, this policy does not cover the College's investment of long-term or endowment assets, general funds managed on behalf of the Commonwealth, proceeds from tax-exempt bond issues, or guidelines in the procurement of banking services. Except for cash in certain legally restricted and special accounts, the College shall consolidate cash and reserve balances to optimize College-wide liquidity management, maximize its investment earnings potential, and to increase efficiencies in the cost of investment management.

Statement of Objectives

- To ensure the safety of funds held in the short-term investment portfolio.
- To maximize investment return within the constraints of safety of principal and of maintaining sufficient liquidity to meet all operating needs and obligations that may be reasonably anticipated.

Governing Authority: Laws and Regulations

This Cash Management Investment Policy shall be governed by existing law and regulations that apply to the investment of public funds, specifically the *Virginia Security for Public Deposits Act*, Chapter 44 (§2.2-4400 et seq.) of Title 2.2 of the Code of Virginia, as amended; the *Investment of Public Funds Act*, Chapter 45 (§2.2-4500 et seq.) of Title 2.2 of the Code of Virginia, as amended; the *Uniform Prudent Management of Institutional Funds Act*, Chapter 11, (§64.2-1100 et seq.) of Title 64.2 of the Code of Virginia, as amended; and **Chapter 5 (§23-44.1) of Title 23** of the Code of Virginia, as amended, concerning the College's investment of endowment income, gifts, standards of care, liability, and exemption from the Virginia Public Procurement Act. Further authority as it relates to the investment of operating fund reserves and balances of or held by the College is delegated to the Board of Visitors in a certain Management Agreement dated March 30, 2009, by and between the Commonwealth of Virginia and the Rector and Board of Visitors of the College of William and Mary, pursuant to the Restructured Higher Education Financial and Administrative Operations Act of 2005. **Delegated authority to restructured institutions is further addressed by the General Assembly in §4-9.03 Level III Authority of the 2014-16 Appropriations Act passed on June 23, 2014: "The**

Management Agreements negotiated by the institutions contained in Chapters 675 and 685 Acts of the Assembly shall continue in effect unless the Governor, General Assembly, or the institutions determine that the Management Agreements need to be renegotiated or revised.”

Standards of Care

The College will have the option to manage its non-general short **and intermediate** term operating cash reserves internally, only when necessary and feasible, and/or preferably through the exercised care of professional investment managers.

The College shall rely on the “prudent person” standard in the exercised care of its investments. Accordingly, as stated in the *Investment of Public Funds Act*, Chapter 45 (§2.2-4514 et seq.) of Title 2.2 of the Code of Virginia, investments shall be made “with the care, skill, prudence, and diligence under the circumstances then prevailing that a prudent person acting in a like capacity and familiar with such matters would use in the conduct of an enterprise of a like character and with like aims.” College employees and officials who exercise proper due diligence in following this investment policy according to the “prudent person” standard shall be relieved of personal responsibility for an individual security’s credit risk or market price changes. When investments are made in conformity with *Investment of Public Funds Act*, Chapter 45 of the Code of Virginia, §2.2-4516 states that “no treasurer or public depositor shall be liable for any loss therefrom in the absence of negligence, malfeasance, misfeasance, or nonfeasance on his part or on the part of his assistants or employees.” Furthermore, when deposits are made in conformity with the *Virginia Security for Public Deposits Act*, Chapter 44 of the Code of Virginia, §2.2-4410 states that “no official of a public depositor shall be personally liable for any loss resulting from the default or insolvency of any qualified public depository in the absence of negligence, malfeasance, misfeasance, or nonfeasance on his part or on the part of his agents.”

Members of William and Mary community are required to adhere to a Code of Ethics Policy which was passed by the Board of Visitors on April 17, 2009. College personnel involved with the investment of funds shall be governed by these ethical guidelines and furthermore shall take meaningful effort to refrain from actions or activities that would have the appearance of violating the nature and intent of the College’s standards of ethical behavior.

Upon retention, external managers will be given a copy of this Cash Management Investment Policy and shall be required to maintain compliance with all directives stated herein. External managers shall be required to have a Code of Ethics or similar governing rules of ethical behavior that shall be disclosed to the College prior to their formal engagement. Failure to maintain compliance with these governances may result in dismissal and other potential measures of recourse.

Approved Investments

- U.S. Treasury Bills
- U.S. Treasury Notes and Bonds
- U.S. Federal Agency Obligations (including mortgage backed securities)

- Money market mutual funds (no-load open-ended investment funds) which invest in U.S. Treasury Bills, Notes, Bonds, Federal Agency Obligations, and high quality Corporate Obligations, provided such funds are registered under the Federal Investment Company Act of 1940 and rated at least "AAm" or the equivalent by a Nationally Recognized Statistical Rating Organization ("NRSRO") and properly registered for sale in Virginia under the Securities Act (§13.1-501 et seq.) of the Code of Virginia. Money market funds must comply with the diversification, quality, and maturity requirements of Rule 2a-7, or any successor rule, under the Federal Investment Company Act of 1940, provided the investments of such funds are restricted to investments otherwise permitted by the Code of Virginia.
- Bond mutual funds, commingled investment funds, and bank common trust funds (all classified as no-load open or closed-ended investment funds) which invest in high quality government (USD-denominated securities) and high quality corporate obligations. Funds must have with individual an average effective maturities maturity no longer than 5 years and an average portfolio duration no longer than 2 years. High quality corporate obligations shall carry a rating of at least "A" The average credit quality for a fund will carry a rating of "A" or better by two rating agencies, one of which shall be either Moody's Investors Service, Inc., or Standard & Poor's, Inc. Funds must be registered under the Federal Investment Company Act of 1940 and be properly registered for sale in Virginia under the Securities Act (§13.1-501 et seq.) of the Code of Virginia. Investments in these funds are restricted to investments otherwise permitted by the Code of Virginia for qualified public entities.
- Bankers' Acceptances that are issued by domestic banks or domestic offices of foreign banks (in USD), which are eligible for purchase by the Federal Reserve System with a maturity of 180 days or less. The issuing corporation, or its guarantor, must have a short-term debt rating of no less than "A-1" (or its equivalent) by at least two NRSROs. The amount invested in any single bank will not exceed 5% of the total funds available for investment (based on book value on the date of acquisition).
- "Prime quality" Commercial Paper with a maturity of 270 days or less and a short-term debt rating of no less than "A-1" (or its equivalent) by at least two of the NRSROs at time of purchase. Issuing corporations must be organized and operating under the laws of the United States or any state thereof and have a minimum net worth of \$50 million. The net income of the issuing corporation, or its guarantor, must have averaged at least \$3 million per year for the previous five years. All existing senior bonded indebtedness of the issuer, or its guarantor, must be rated "A" or better by at least two NRSROs.
- High quality corporate notes and obligations rated at least "Aa" "A" by Moody's Investors Service, Inc., and rated at least "AA" "A" by Standard & Poor's, Inc., and a maturity of no more than five years (as allowed by the Code of Virginia).

- High quality asset-backed securities with a duration of no more than five years (as allowed by the Code of Virginia) and a rating of no less than “AAA” by two NRSROs, one of which must be either Standard & Poor’s, Inc. or Moody’s Investors Service, Inc.
- **Negotiable** Certificates of Deposit and **Negotiable** Bank Deposit Notes of domestic banks and domestic offices of foreign banks, lawfully authorized to do business in Virginia, with a rating of at least “A-1” by Standard & Poor’s, Inc. and “P-1” by Moody’s Investors Service, Inc., for maturities of one year or less, and a rating of at least “AA” by Standard & Poor’s, Inc. and “Aa” by Moody’s Investors Service, Inc., for maturities over one year and not exceeding five years. **Negotiable** Certificates of Deposit and **Negotiable** Bank Deposit Notes with any institution other than the College’s primary depository shall not exceed levels of provided insurance by the Federal Deposit Insurance Corporation.
- Time Deposits in any federally insured bank or savings institution that is qualified by the Virginia Treasury Board to accept public deposits. Deposits in any such institutions shall be at levels whereby the College’s money shall remain fully insured by the Federal Deposit Insurance Corporation (or collateralized in full with U.S. Government or agency securities by the College’s primary depository as assets belonging to a public entity covered under the *Virginia Security for Public Deposits Act*, Chapter 44 (§2.2-4400 et seq.) of Title 2.2 of the Code of Virginia).
- Investment in overnight repurchase agreements. Certain conditions for investment shall apply:
 - When investments are made in overnight repurchase agreements, the College will require that its investments be 102% collateralized by U.S. Treasury and Agency obligations, and that this collateral be delivered to the College’s custodian bank and identified according to Uniform Commercial Code book entry procedures on the custodian’s books as property belonging to the College of William & Mary;
 - A master repurchase agreement or specific written repurchase agreement shall govern the transaction;
 - The securities are free and clear of any lien;
 - Qualified counterparties must be either member banks of the Federal Reserve System having total assets of more than \$10 billion and that are among the 50 largest commercial banks in the U.S.; or, non-bank dealers ~~who~~ that are designated by the Federal Reserve Bank of New York as primary dealers in government securities **and report daily to the Federal Reserve Bank of New York;**
 - The counterparty must have a long-term credit rating of at least “AA” or the equivalent from an NRSRO, **a short-term credit rating of at least “A-1” or the equivalent from an NRSRO,** been in business for at least 5 years, and be reputably known among market participants.

- State and Municipal Obligations consisting of bonds, notes, and other general obligations of any state or municipal authority organized within the United States upon which there has been no default and having a rating of at least “AA” by Standard & Poor’s, Inc., and “Aa” by Moody’s Investors Service, Inc., and maturing within two years of the date of purchase. **Purchase of State and Municipal Obligations must comply with guidelines and restrictions found in the Code of Virginia.**
- Local Government Investment Pool (LGIP). This highly diversified money market fund, administered by the Treasury Board of the Commonwealth of Virginia, referenced in Chapter 46 (§2.2-4600 et seq.) of Title 2.2 of the Code of Virginia (*Local Government Investment Pool Act*), offers public entities in Virginia a convenient and cost effective means to invest short-term monies adhering to all investment guidelines required by the Code of Virginia. The LGIP is rated “AAAm” by Standard & Poor’s, Inc. (as of June 30, 2015) and must be rated “AAAm” by Standard & Poor’s, Inc. for the College’s investment purposes.

Diversification of Approved Investments

The maximum allowable percentage of the College’s short-term portfolio permitted in each single asset category is as follows along with the maximum limits allowed in the Code of Virginia:

	<u>CWM</u>	<u>Code VA</u>
- U.S. Government securities and its agencies	100%	100%
- Repurchase Agreements with Required U.S. Gov’t Collateral	100%	100%
- Money Market Mutual Funds (100% U.S. Gov’t & Agencies)	100%	100%
- Money Market Mutual Funds (Diversified)	35%	100%
- Commingled Investment Funds or Bank Common Trust Funds	50%	100%
- Bond Mutual Funds (100% U.S. Gov’t & Agency Obligations)	100%	100%
- Bond Mutual Funds (Diversified)	50%	100%
- “Prime Quality” Commercial Paper (A-1 P1)	35%	35%
- High quality Corporate Debt (Aa AA ratings by Moody’s and S&P)	50%	100%
- Bankers’ Acceptances	35%	100%
- Certificates of Deposit and Bank Deposit Notes	35%	100%
- Insured and/or collateralized bank deposits	50%	100%
- Asset-backed securities	35%	100%
- State and Municipal Obligations	20%	100%
- State run LGIP	100%	100%

Prohibited Investments

Without the expressed consent of the Board of Visitors, evidenced by signatory authorization from the **Senior** Vice President for Finance **and Administration**, the following investments are prohibited:

- Floating rate notes with maturities under two years that have any embedded leverage or option ability (e.g., caps, floors, multiple reset features, etc.), however, U.S. Agency adjustable rate mortgage backed securities (ARMs) are permitted investments.
- Floating rate notes with maturities over two years
- Structured notes
- Swaps
- Other derivatives
- High Yield and Distressed Debt
- Reverse repurchase agreements
- Borrowing funds for the purpose of reinvesting the proceeds of such borrowing
- Investing in any security not specifically permitted by this Policy

Where written consent is given for investment in any of these categories, the Board of Visitors will require the investment manager to adhere to specific safeguards.

Investment Limits

No more than 5% of the portfolio shall be invested in specifically held securities of any single issuer. A single issuer shall incorporate all debt issued by parent, subsidiary, and affiliated companies, thereby limiting investment exposure to any one holding company or entity.

The following exceptions to this 5% single issuer limit shall apply:

- | | |
|--|--------------|
| - U.S. Treasury obligations | 100% maximum |
| - Money market funds of only U.S. Gov't and Agency obligations | 100% maximum |
| - Bond mutual funds of only U.S. Gov't and Agency obligations | 100% maximum |
| - State run LGIP | 100% maximum |
| - Each Federal Agency (held as discrete investments) | 50% maximum |
| - Diversified money market and mutual funds | 35% maximum |
| - Other types of mutual and commingled funds | 35% maximum |

There will be no more than ~~\$15~~ **\$20** million invested in a Core Balance strategy, separate from that of cash required for the College's immediate operating needs and liquidity requirements. This Core Balance strategy will be a part of the overall short-term investment portfolio and similarly follow allocation guidelines for approved and prohibited investments, albeit with longer average maturity and duration limits.

Foreign Securities

The direct purchase of discrete foreign securities that are not denominated in U.S. dollars will be prohibited in any College account set up under these guidelines for short and intermediate term investment. U.S. dollar denominated sovereign and supranational bonds (Yankee bonds) with one year or less of maturity will be permitted for investment. Should a company whose security is held in a short or intermediate term investment account be acquired by a foreign company, the security may remain in the portfolio as long as it is determined by the portfolio manager that it is in the best economic interest of the College to hold the security for the short term. Exempt from this prohibition on foreign securities are high quality money market and commingled funds which may have foreign securities as a small component of the fund.

Security Downgrades

In the event that any security or fund held in the investment portfolio is downgraded below the rating requirement required by this policy, the security or fund shall be sold within 60 days of such downgrade.

Risk Parameters

Investment of the College's operating cash will be undertaken by managing those risks that can affect the value of investments. Investment firms engaged by the College will be required to continuously monitor the various types of risk inherent in a diversified institutional investment portfolio.

Interest rate risk will be controlled primarily by investing in bonds with various maturities. Controlling the portfolio's average maturity and duration will also mitigate the negative effects of interest rate risk. At no time will any individually owned security have an effective and/or legal maturity longer than 5 years. **An overnight investment operating account will be used in conjunction with a sweep vehicle to/from the College's main depository account. The short-term portfolio used for liquidity management, exclusive of the Core Balance strategy, shall maintain a weighted average effective maturity not to exceed 24 months and an average duration not to exceed 15 months.** Core Balance investments, when managed separately in a discrete portfolio, shall maintain a weighted average effective maturity not to exceed 60 months and an average duration not to exceed 24 months.

Credit risk is managed primarily by limiting the opportunity set to certain approved high quality investments as reflected above that conform to Virginia statutes. Rating agencies, herein referred to as NRSROs, such as Moody's and Standard & Poor's, will be used as a measure to evaluate and monitor credit risk of held investments.

Counterparty risk will be continually monitored to ensure the continued financial strength and investment quality of the issuer.

Liquidity Constraints

Without the prior approval of the Senior Vice President of Finance and Administration of the College, no investments in specific securities shall be made where maturities exceed 3 years (where 5 years is the maximum permitted by this policy). Weighted average life will be used as a proxy for maturity date for mortgage backed securities. The portfolio shall maintain adequate liquidity to ensure the College's ability to meet its operating requirements. At all times, the College shall maintain sufficient liquidity on an overnight basis to ensure clearance of its known payments and unanticipated presentment of checks. The College and its engaged investment manager(s) shall constantly monitor cash levels and maintain a portfolio structure that allows sufficient liquidity within time periods of a day, week, month, and six-months, taking into consideration fluctuating cash levels associated with cyclical revenue and expenditure patterns.

Authorized Personnel and Delegated Authority

The Senior Vice President for Finance and Administration of the College or such person(s) he/she designates in writing is (are) authorized to make investment decisions under this policy for the College of William & Mary, including the selection and contractual engagement of professional investment firms that would adhere to the guidelines presented herein and that of generally accepted prudent fiduciary practices.

The Senior Vice President for Finance and Administration and certain members of his/her staff shall also be responsible for maintaining internal controls that appropriately safeguard the investable assets of the College consistent with this policy and the permissions given for types of investment and engagement of external professional management. Professional investment management firm(s) engaged by the College MUST be registered with the Securities and Exchange Commission under the Investment Advisors Act of 1940, showing proof of such prior to their hiring. Before an organization can provide investment management services to the College, it must confirm in writing that it has reviewed this Policy and is able to fully comply with all requirements. Furthermore, the organization must submit the following materials:

- Proof of its registration with the SEC under the Investment Advisers Act of 1940;
- An annual updated copy of Form ADV, Part II;
- Proof of its registration to conduct business in the Commonwealth of Virginia;
- Demonstrable evidence in providing like services under the *Investment of Public Funds Act*, Chapter 45 of the Code of Virginia; and
- Confirm use of only qualified security brokers/dealers. To achieve qualification, the broker/dealer should be financially stable and have the ability to effectively execute buy and sell transactions. The engaged manager(s) will maintain a list of qualified brokers/dealers who meet the criteria of this Policy; and
- Confirm that procedures for best execution will always be followed and that soft dollar commissions or credits for College asset trades will not be collected or otherwise utilized in the execution of investment services

Reporting Requirements

Engaged investment managers shall be required to prepare and deliver comprehensive monthly accounting and analytical reports to the College that provide the following information:

- Monthly buy and sell transactions;
- Monthly realized gains and losses on sales;
- Month-end holdings that show amortized book value, maturity date, yield-on-cost, market value and other features deemed relevant;
- Monthly transactions that account for income, fees and disbursements, purchase of accrued income, and other relevant activity; and,
- Monthly performance of asset categories and the aggregate portfolio.

Engaged investment managers shall be required to prepare and deliver comprehensive quarterly investment reports to the College that provide the following information:

- Summary of recent market conditions, economic developments, a forecast of future economic activity, and an assessment of how the investment manager fared in the investment of the College's funds;
- A comprehensive quarter-end holdings report that further shows the calculated total rate of return for the quarter and year-to-date versus appropriate benchmarks; and,
- Any areas of policy concern warranting discussion with College officials, as in the case of recommended revisions.

Performance Benchmarks

Investment performance of the portfolio shall be monitored and evaluated using various individual benchmarks that have similar maturity, duration, and risk characteristics of those investments held in the portfolio. Overall portfolio performance shall be evaluated on an ongoing basis by management, taking into consideration asset allocation, quality and safety factors, maturities and implied risks, and various external market factors.

Accordingly, the College shall use the 91 Day Treasury Bill Index as the primary benchmark in review of investment performance and may use other benchmarks such as the Merrill Lynch 3-month and 6-month Treasury Bill Indexes and/or the Barclays Capital 3-6 Month Treasury Bill Index for purposes of comparability.

Performance Review and Evaluation Requirements

External managers shall be formally evaluated by management at least on an annual basis according to certain criterion that was used in the process of engagement as well as any other more contemporaneous factors that should be noted in a formal evaluation. An overall rating of anything less than satisfactory will be cause for dismissal.

Monitoring the Cash Management Investment Policy

The Board of Visitors or its designated subcommittee thereof shall review this policy at least once every three years in order to ensure that the governances, provisions, and guidelines stated herein appropriately reflect the perspective and risk tolerances of the Board with respect to current market conditions. Management will inform the Board of any violations to this policy, discussed below, and extenuating results.

Occurrences of Non-Compliance with the Policy and Process of Resolution

Compliance with stated guidelines in this policy is a requirement. Violations of any kind will require full explanation of the event. Management will evaluate the severity of the violation, the circumstances by which it occurred, and the manager's corrective response. Management will then decide what recourse to pursue in dealing with the manager. Should the infraction be serious enough, the manager will be immediately dismissed. Multiple or recurring infractions may warrant immediate dismissal. Lesser infractions will also be documented and discussed with the manager's senior representatives. Resolution and types of restitution will be discussed with the manager depending on the severity of the violation.

**COLLEGE OF WILLIAM AND MARY
CORPORATE RESOLUTION TO TRANSACT BUSINESS AND CONFIRM
AUTHORIZED BUSINESS AGENTS FOR THE COLLEGE OF WILLIAM AND MARY**

On November 20, 2015, the Board of Visitors of The College of William and Mary in Virginia met and passed revisions to the *Bylaws* to clarify the power of certain officers of the College to transact business in the name of the College.

Article X, Section C. of the revised *Bylaws* states:

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.

BE IT RESOLVED, That the following statement of certification will accompany this resolution, requiring signature by the Secretary of the Board of Visitors attesting to its validity and correctness:

I, _____, Secretary of the Board of Visitors of The College of William and Mary in Virginia, do hereby certify that the foregoing is a true and correct copy of the Resolution approved by the Board of Visitors of said College at a duly constituted meeting held in the City of Williamsburg, Virginia, on the 20th day of November, 2015, at which a quorum was present and acting throughout, and that said resolution appears in the minutes of said meeting, and that the same has not been rescinded or modified and is now in full force and effect. I further certify that said organization is duly organized and existing, and has the power to take the action called for by the foregoing resolution. I further certify that W. Taylor Reveley III is President and Samuel E. Jones is Senior Vice President for Finance and Administration of The College of William and Mary in Virginia.

Given under my hand and official seal of The College of William and Mary in Virginia on the _____ day of _____.

_____, Secretary

February 3-5, 2016

THE COLLEGE OF WILLIAM & MARY
2015-2016 OPERATING BUDGET SUMMARY

	2013-14 Actual	2014-2015 Actual	Approved 2015-2016 Budget	2015-2016 Year-to-Date 12/31/15
CASH CARRYFORWARD	\$ 461,488	\$ 1,457,852		
REVENUE				
General Funds				
Educational/General	\$ 40,641,662	\$ 39,724,906	\$ 41,380,235	\$ 20,492,463
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	86,243,319
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	57,196,368
Sponsored Programs	30,095,304	30,030,182	31,850,000	16,005,364
Private Funds	11,547,138	12,300,962	15,087,937	4,554,009
Total Revenue	\$ 327,234,273	\$ 342,993,979	\$ 363,054,353	\$ 214,402,008
EXPENDITURES				
Instruction	\$ 93,758,706	\$ 98,235,633	\$ 104,408,123	\$ 55,230,601
Research	1,498,348	1,432,020	1,648,616	874,292
Public Service	55,524	56,556	63,206	16,373
Academic Support	26,261,665	28,354,558	29,717,207	15,533,509
Student Services	8,023,809	8,182,367	8,741,037	4,606,791
Institutional Support	26,206,743	30,244,325	30,048,573	19,386,189
Plant Operations	17,318,010	16,743,301	18,394,603	9,745,457
Student Aid	28,293,639	31,650,481	34,102,422	32,448,969
Auxiliary Enterprise	93,121,777	95,962,756	98,941,913	50,341,184
Sponsored Programs	30,170,304	30,105,182	31,950,000	16,005,364
Total Expenditures	\$ 324,708,525	\$ 340,967,179	\$ 358,015,700	\$ 204,188,729

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**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 12/31/15</u>
CASH CARRYFORWARD	\$461,488	\$1,457,852	\$0	\$0
REVENUE:				
General Funds	\$40,641,662	\$39,724,906	\$41,380,235	\$20,492,463
Nongeneral Funds	124,640,830	132,148,391	139,989,171	86,243,319
Total Revenue	\$165,282,492	\$171,873,297	\$181,369,406	\$106,735,782
AVAILABLE FUNDS	\$165,743,980	\$173,331,149	\$181,369,406	\$106,735,782
EXPENDITURES:				
Instruction	\$93,052,905	\$97,355,757	\$103,252,226	\$54,598,450
Research	938,257	803,613	1,053,540	570,485
Public Service	7,846	7,888	8,021	11,232
Academic Support	25,531,822	26,985,292	28,473,791	14,515,919
Student Services	7,853,693	8,031,604	8,582,026	4,541,856
Institutional Support	19,596,203	21,991,544	21,646,126	13,749,919
Plant Operations	17,368,806	16,736,815	18,353,676	9,663,201
Total Expenditures	\$164,349,532	\$171,912,513	\$181,369,406	\$97,651,062

**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 12/31/15</u>
REVENUE:				
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
Total Revenue	\$25,525,485	\$28,760,038	\$30,810,485	\$30,810,485
EXPENDITURES:				
	\$25,525,485	\$28,760,038	\$30,810,485	\$30,810,485

* Excludes student financial assistance support included in Board of Visitors private fund budget.

The College of William and Mary
Education and General
2015-2016 Operating Budget Summary

Board of Visitors

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	2013-2014 <u>Actual</u>	2014-2015 <u>Actual</u>	Approved 2015-2016 <u>Budget</u>	2015-2016 Year-to-Date 12/31/15
CASH CARRYFORWARD	\$451,488	\$1,457,852	\$0	\$0
<u>REVENUE</u>				
General Funds	\$40,641,662	\$39,724,906	\$41,380,235	\$20,512,545
Nongeneral Funds	124,640,830	\$132,148,391	139,989,171	86,223,237
TOTAL REVENUE	\$165,282,492	\$171,873,297	\$181,369,406	\$106,735,782
AVAILABLE FUNDS	\$165,743,980	\$173,331,149	\$181,369,406	\$106,735,782
<u>EXPENDITURES</u>				
<u>Instruction</u>				
Personal Services	\$86,264,296	\$90,342,652	\$95,221,324	\$51,158,301
Contractual Services	3,500,052	3,119,977	3,774,831	1,534,216
Supplies and Materials	844,781	978,668	1,043,075	511,227
Transfer Payments	1,687,346	1,471,689	1,184,728	175,686
Continuous Charges	460,761	510,180	477,757	299,456
Property & Improvements	15,631	28,120	100,000	14,218
Equipment	280,038	904,471	1,450,511	903,732
Indirect Cost	0	0	0	1,614
TOTAL	\$93,052,905	\$97,355,757	\$103,252,226	\$54,598,450

	<u>2013-2014</u> <u>Actual</u>	<u>2014-2015</u> <u>Actual</u>	<u>Approved</u> <u>2015-2016</u> <u>Budget</u>	<u>2015-2016</u> <u>Year-to-Date</u> <u>12/31/15</u>
<u>Research</u>				
Personal Services	\$646,173	\$751,158	\$781,905	\$542,429
Contractual Services	69,732	26,407	70,850	24,222
Supplies and Materials	19,187	2,291	520	1,964
Transfer Payments	193,888	14,154	194,965	60
Continuous Charges	944	192	300	0
Equipment	8,333	9,411	5,000	1,810
TOTAL	\$938,257	\$803,613	\$1,053,540	\$570,485
<u>Public Service</u>				
Personal Services	\$0	\$0	\$760	\$0
Contractual Services	4,316	5,372	5,784	7,092
Supplies and Materials	0	16	477	0
Continuous Charges	3,000	2500	1,000	3,600
Equipment	530	0	0	540
TOTAL	\$7,846	\$7,888	\$8,021	\$11,232

	<u>2013-2014 Actual</u>	<u>2014-2015 Actual</u>	<u>Approved 2015-2016 Budget</u>	<u>2015-2016 Year-to-Date 12/31/15</u>
<u>Academic Support</u>				
LIBRARIES:				
Personal Services	\$5,603,617	\$5,906,938	\$6,316,543	\$3,191,264
Contractual Services	652,461	689,998	926,061	297,734
Supplies and Materials	56,794	62,802	38,658	16,599
Continuous Charges	3,194	12,273	5,000	897
Property & Improvements	0	\$23,970	0	2,209
Equipment	3,866,024	4,072,673	3,845,809	2,470,242
TOTAL	\$10,182,090	\$10,768,654	\$11,132,071	\$5,978,945
OTHER ACAD. SUPPORT:				
Personal Services	\$12,517,997	\$12,968,622	\$14,202,388	\$7,575,815
Contractual Services	1,699,470	1,828,350	2,127,795	519,462
Supplies and Materials	119,105	123,114	92,701	59,635
Transfer Payments	166,910	98,568	123,506	17,271
Continuous Charges	140,453	257,832	140,167	188,250
Property & Improvements	820	1072	0	1,744
Equipment	704,977	939,080	655,163	174,796
TOTAL	\$15,349,732	\$16,216,638	\$17,341,720	\$8,536,974
TOTAL ACADEMIC SUPPORT	\$25,531,822	\$26,985,292	\$28,473,791	\$14,515,919

Board of Visitors

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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 12/31/15</u>
<u>Student Services</u>				
Personal Services	\$6,309,076	\$6,569,256	\$7,332,547	\$3,687,885
Contractual Services	1,232,050	1,070,495	930,655	648,583
Supplies and Materials	177,860	157,430	155,059	75,004
Transfer Payments	51,444	116,158	69,039	66,574
Continuous Charges	18,599	17,935	4,150	16,347
Property & Improvements	0	8	0	360
Equipment	64,664	100,322	90,576	47,103
TOTAL	\$7,853,693	\$8,031,604	\$8,582,026	\$4,541,856
<u>Institutional Support</u>				
Personal Services	\$15,779,856	\$17,210,092	\$18,073,121	\$9,759,855
Contractual Services	2,210,560	3,346,772	2,537,509	1,507,990
Supplies and Materials	305,093	290,911	169,216	1,526,278
Transfer Payments	114,537	284,188	72,490	35,526
Continuous Charges	700,181	522,678	569,319	583,055
Property & Improvements	397	26,285	0	69,403
Equipment	485,579	310,618	224,471	267,812
TOTAL	\$19,596,203	\$21,991,544	\$21,646,126	\$13,749,919

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	2013-2014 <u>Actual</u>	2014-2015 <u>Actual</u>	Approved 2015-2016 <u>Budget</u>	2015-2016 Year-to-Date <u>12/31/15</u>
<u>Plant Operations</u>				
Personal Services	\$2,333,968	\$2,041,566	\$6,495,809	\$1,203,941
Contractual Services	8,113,810	8,407,498	5,627,591	4,975,185
Supplies and Materials	1,433,009	1,580,259	1,631,635	465,307
Transfer Payments	3,862	9,504	0	1,462
Continuous Charges	5,191,922	4,458,140	4,264,182	2,809,010
Property & Improvements	97,802	83,140	104,575	126,397
Equipment	194,433	156,708	229,884	81,900
TOTAL	\$17,368,806	\$16,736,815	\$18,353,676	\$9,663,201
E&G PROGRAM TOTAL	\$164,349,532	\$171,912,513	\$181,369,406	\$97,651,062

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**The College of William and Mary
Auxiliary Enterprise
2015-2016 Operating Budget Summary**

	2013-2014 Actual	2014-2015 Actual	Approved 2015-2016 Budget	2015-2016 Year-to-Date 12/31/15
REVENUE				
Residence Life	\$28,266,065	\$30,703,126	\$32,604,000	\$19,303,794
Food Service	18,030,997	20,188,593	20,878,319	12,336,212
Telecom/Network	3,607,724	3,641,432	3,579,449	2,066,530
Student Unions	2,998,290	3,042,304	2,902,600	1,787,555
W&M Hall	2,390,203	2,412,797	2,473,400	1,434,290
Athletics	21,711,969	23,511,394	24,252,108	9,287,778
Other	<u>17,703,606</u>	<u>17,354,854</u>	<u>18,046,649</u>	<u>10,980,209</u>
Total Revenue	\$94,708,854	\$100,854,500	\$104,736,525	\$57,196,368
EXPENDITURES				
Residence Life	\$28,065,518	\$28,525,800	\$32,604,000	\$15,511,208
Food Service	16,438,554	16,483,638	15,920,976	9,295,328
Telecom/Network	3,688,893	3,709,596	3,489,914	1,801,786
Student Unions	2,852,819	3,021,197	2,902,600	1,764,611
W&M Hall	1,973,500	2,189,270	2,473,400	1,418,266
Athletics	21,620,518	23,183,395	24,236,338	12,072,856
Other	<u>18,481,975</u>	<u>18,849,860</u>	<u>17,314,685</u>	<u>8,477,129</u>
Total Expenditures	\$93,121,777	\$95,962,756	\$98,941,913	\$50,341,184

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**The College of William and Mary
Sponsored Programs
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 12/31/15</u>
REVENUE				
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>16,005,364</u>
Total Revenue	\$30,170,304	\$30,105,182	\$31,950,000	\$16,005,364
EXPENDITURES				
	\$30,170,304	\$30,105,182	\$31,950,000	\$16,005,364

**THE COLLEGE OF WILLIAM & MARY
PRIVATE FUNDS
2015-2016 Operating Budget Summary**

	2013-2014 Actual	2014-2015 Actual	Approved 2015-2016 Budget	2015-2016 Year-to-Date 12/31/15
REVENUE:				
Distributed Endowment Income	\$2,649,604	\$2,895,992	\$3,266,937	\$1,630,224
Administrative Overhead Allocation	200,000	300,000	300,000	150,000
Transfers from Other Sources	146,668	205,877	305,000	130,920
Interest on Cash Balances	404,803	222,464	220,000	244,871
Annual Gifts	7,490,620	7,585,622	8,600,000	2,344,256 (1)
Drawdown from BOV Quasi Endowment	0	0	1,350,000	0
Distribution from External Trusts	33,409	38,621	36,000	24,073
Other Revenue	622,034	1,052,386	1,010,000	29,665
Total Revenue	\$11,547,138	\$12,300,962	\$15,087,937	\$4,554,009
EXPENDITURES:				
Instruction	\$705,801	\$879,876	\$1,155,897	\$632,151
Research	560,091	628,407	595,076	303,807
Public Service	47,678	48,668	55,185	5,141
Academic Support	729,843	1,369,266	1,243,416	1,017,590 (2)
Student Services	170,116	150,763	159,011	64,935
Institutional Support	6,610,540	8,252,781	8,402,447	5,636,270 (3)
Plant: Operations & Capital Improvements	(50,796)	6,486	40,927	82,256
Student Aid	2,768,154	2,890,443	3,291,937	1,638,484
Total Expenditures	\$11,541,427	\$14,226,690	\$14,943,896	\$9,380,634

(1) Additional December gifts received during the holidays of approximately \$1.1M were recorded in January, 2016.

(2) About 75% of endowment expendables have been used.

(3) Mostly Advancement expenses. In prior years, some of these expenses were funded by CWMF.

VIRGINIA INSTITUTE OF MARINE SCIENCE**SUMMARY OF OPERATING BUDGET AMENDMENTS
SUBMITTED TO THE 2016 GENERAL ASSEMBLY**

	<u>FY 2016-17</u>	<u>FY 2017-18</u>
Increase support for Marine Science Graduate Program	\$325,000 GF	\$325,000 GF

These funds will support the Graduate Program at VIMS. VIMS and its faculty provide tuition, stipend and basic health insurance coverage for all graduate students who are in good academic standing and making satisfactory progress in their research. Without this commitment, VIMS would not be competitive for top-tier students. It is critical to note that virtually all graduate programs in marine science with which VIMS competes for top students provide full tuition and stipend, and many also provide health insurance coverage. This is the norm in graduate level science education in the U.S. and is a model that has been widely emulated worldwide because it is a proven path to innovation and impact. These funds are not only crucial to maintaining VIMS' competitiveness with others, but will in fact assist VIMS with increasing its enrollment growth by 25% in STEM fields, a major objective of the Higher Education Opportunity Act.

Increase support for Base Operating Needs	\$1,430,719 GF	\$954,875 GF
	3.0 FTE	3.0 FTE

This request supports much needed base operating funds at the Institute given that the normal formulas the state uses to assess and supply base operating support to higher education institutions do not readily apply to VIMS and, thus, disadvantages the Institute. Specifically this request includes vital support for 1) service contracts for high tech scientific equipment purchased through the Equipment Trust Fund, 2) inflationary increases in general operating expenses, 3) modernizing and expanding the 15 year-old campus data network, and 4) replacing the more than 30 year-old campus PBX-based telephone system with a modern, well supported telecommunications system using VOIP technology.

**VIRGINIA INSTITUTE OF MARINE SCIENCE
2015-2016 OPERATING BUDGET SUMMARY**

	2013-2014 <u>Actual</u>	2014-2015 <u>Actual</u>	Approved 2015-2016 <u>Budget</u>	2015-2016 Year-to-Date <u>12/31/15</u>
<u>REVENUE</u>				
General Fund	\$18,543,127	\$18,886,292	\$19,849,593	\$9,794,470
Nongeneral Funds				
Educational/General	1,690,439	1,762,757	1,859,272	970,508
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>10,754,821</u>
Total Revenue	\$40,799,028	\$43,902,850	44,291,609	\$21,519,799
<u>EXPENDITURES</u>				
Instruction	\$1,083,091	\$1,328,796	\$1,218,443	\$775,340
Research and Advisory Services	7,817,382	8,593,009	9,033,807	5,716,722
Academic Support	4,777,468	4,313,766	5,004,705	2,887,662
Institutional Support	2,206,861	2,299,618	2,249,580	2,187,020
Plant Operations	4,028,066	3,843,299	4,043,535	2,081,292
Student Financial Assistance	242,645	241,540	241,540	97,546
Sponsored Programs/Eminent Scholars	<u>20,565,462</u>	<u>23,216,498</u>	<u>22,500,000</u>	<u>10,754,821</u>
Total Expenditures	\$40,720,976	\$43,836,525	\$44,291,609	\$24,500,401



Investment Portfolio Evaluation For Periods Ending December 31, 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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Index Name	4Q15	Fiscal YTD	1 year	3 years	5 years	10 years
Dow Jones Industrial Average	7.7	0.2	0.2	12.7	11.3	7.8
S&P 500	7.0	0.2	1.4	15.1	12.6	7.3
Russell 1000	6.5	(0.8)	0.9	15.0	12.4	7.4
Russell 1000 Value	5.6	(3.2)	(3.8)	13.1	11.3	6.2
Russell 1000 Growth	7.3	1.6	5.7	16.8	13.5	8.5
Russell Midcap	3.6	(4.7)	(2.4)	14.2	11.4	8.0
Russell Midcap Value	3.1	(5.2)	(4.8)	13.4	11.3	7.6
Russell Midcap Growth	4.1	(4.2)	(0.2)	14.9	11.5	8.2
Russell 2000	3.6	(8.8)	(4.4)	11.7	9.2	6.8
Russell 2000 Value	2.9	(8.2)	(7.5)	9.1	7.7	5.6
Russell 2000 Growth	4.3	(9.3)	(1.4)	14.3	10.7	8.0
Russell 3000	6.3	(1.4)	0.5	14.7	12.2	7.4
MSCI EAFE Index	4.8	(5.9)	(0.4)	5.5	4.1	3.5
MSCI World Index	5.6	(3.2)	(0.3)	10.2	8.2	5.6
MSCI World Ex. US Index	4.0	(7.0)	(2.6)	4.4	3.3	3.4
MSCI ACWI	5.2	(4.7)	(1.8)	8.3	6.7	5.3
MSCI ACWI ex USA	3.3	(9.2)	(5.3)	1.9	1.5	3.4
MSCI EM (EMERGING MARKETS)	0.7	(17.2)	(14.6)	(6.4)	(4.5)	4.0
MSCI FM (FRONTIER MARKETS)	(1.2)	(11.6)	(14.1)	5.2	0.7	(1.5)
Barclays U.S. Aggregate	(0.6)	0.7	0.6	1.4	3.3	4.5
Barclays U.S. Government/Credit	(0.7)	0.4	0.2	1.2	3.4	4.5
Barclays Intermediate U.S. Government/Credit	(0.7)	0.3	1.1	1.1	2.6	4.0
Barclays Municipal Bond	1.5	3.2	3.3	3.2	5.4	4.7
BofA Merrill Lynch Convertible Securities	0.9	(6.4)	(2.9)	9.9	8.0	7.1
BofA Merrill Lynch High Yield Master	(2.1)	(6.9)	(4.6)	1.6	4.8	6.7
Citigroup World Government Bond Index	(1.2)	0.5	(3.6)	(2.7)	(0.1)	3.4
JPM EMBI Global Diversified	1.3	(0.5)	1.2	1.0	5.4	6.9
Citigroup 3-month T-bill	0.0	0.0	0.0	0.0	0.1	1.2
HFRI Fund of Funds Composite Index	0.6	(3.0)	(0.4)	3.9	2.1	2.3
CS Tremont Managed Futures Index	(1.1)	3.3	(0.9)	4.5	1.2	4.2
FTSE Nareit All REITs	7.1	7.9	2.3	10.3	11.6	6.9
Dow UBS Commodity Index	(10.5)	(23.5)	(24.7)	(17.3)	(13.5)	(6.4)

Data Sources: Zephyr StyleAdvisor & Barclay's Capital

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Economy/Capital Markets: Despite a negative December, large-cap U.S. stocks remained resilient. The S&P 500 Index ended the year relatively unchanged on a price basis and was able to squeeze out a gain of 1.4 percent after dividends. Investors shed riskier small-cap stocks which caused the Russell 2000 Index to drop 5.0 percent in December. Global equity markets were generally up for the quarter but down virtually across the board in December. The year saw a wide dispersion in returns among economies big and small. Developed markets trailed the U.S. for the quarter as the dollar continued to appreciate. Asian markets eked out gains in December, while most major European markets saw losses, with Spain, Italy, and France leading the declines. Emerging markets were the weakest performers, gaining only 0.7 percent for the quarter and falling over 14% for the year.

The final look at U.S. gross domestic product (GDP) for the third quarter was revised slightly down to 2.0 percent annualized. Consumer spending remained strong, growing 3.0 percent. Inflation remains subdued with headline Consumer Price Index (CPI) flat in November and 0.5 percent higher from a year ago due to reduced global growth and lower commodity prices. December's U.S. Nonfarm Payrolls report beat all estimates with 292,000 jobs created.

Southeast Asian economies continue to face a number of headwinds from China's rebalancing away from a production-to-consumption based economy. This has weighed on demand for Japanese-made manufacturing equipment and heavy machinery and has acted as a headwind to Japanese exports.

Most bond classes were flat to negative in the quarter, but many delivered positive annual returns. On December 16, the Federal Reserve (Fed) announced the first rate hike in more than nine years. High-yield (HY) bonds had the weakest performance as ongoing energy sector and Chinese-growth challenges continued. An increase in HY fund outflows added to price deterioration.

Real Estate Investment Trust (REIT) and Master Limited Partnership (MLP) markets moved in opposite directions in December. Commodity markets fell for the quarter. After falling almost 50% in 2014, U.S. oil prices fell another 30% in 2015.

Executive Summary

Total Fund Performance Through December 31, 2015

% of Account	\$ Value		4q15	FYTD	One Year	Three Years ¹	Five Years ¹	Seven Years ¹	Ten Years ¹	Changes (1/1/03)	Incept (Mgr)	Incept Bench
100%	\$75,701,090	Total BOV Account	0.8	(5.9)	(4.4)	5.7	5.2	9.6	4.7	7.5	6.8	7.0
		Target Benchmark²	2.7	(2.1)	(0.3)	7.4	7.1	10.3	5.6	7.8		
		Policy Benchmark³	3.0	(1.4)	0.4	8.0	7.4	10.2	5.5	7.5		
7.6%	\$ 5,759,058	Blackrock: Large Cap Value	5.9	(1.4)	(0.8)	14.2	10.7	11.6	--	--	5.0	5.7
		Russell 1000 Value	5.6	(3.2)	(3.8)	13.1	11.3	13.0	--	--		
7.5%	\$ 5,679,431	Goldman Sachs	4.7	(2.5)	(3.7)	--	--	--	--	--	9.8	12.0
		S&P 500	7.0	0.2	1.4	--	--	--	--	--		
6.2%	\$ 4,666,464	Wells Fargo: Mid Cap Growth	1.6	(10.2)	(1.4)	12.3	10.6	17.6	--	--	8.4	7.6
		Russell MidCap Growth	4.1	(4.2)	(0.2)	14.9	11.5	18.0	--	--		
6.0%	\$ 4,531,049	Artisan Mid Cap Value	(0.1)	(10.1)	(9.9)	7.5	8.1	--	--	--	14.8	19.6
		Russell MidCap Value	3.1	(5.2)	(4.8)	13.4	11.3	--	--	--		
6.6%	\$ 4,958,565	Royce: Small-Cap	1.7	(14.1)	(13.5)	7.4	5.8	16.3	6.2	11.0	11.1	10.1
		Dreyfus Small Cap Index	3.7	--	--	--	--	--	--	--		
		Russell 2000	3.6	(8.8)	(4.4)	11.7	9.2	14.0	6.8	10.2		
6.4%	\$ 4,875,183	Dodge & Cox International	0.8	(14.7)	(11.4)	3.9	--	--	--	--	6.4	7.2
7.7%	\$ 5,852,332	MFS International	5.5	0.8	6.8	--	--	--	--	--	5.6	(3.1)
		MSCI EAFE	4.8	(5.9)	(0.4)	5.5	--	--	--	--		
5.2%	\$ 3,942,186	State Street: Emerging Markets	1.3	(16.5)	(13.9)	(7.0)	(4.9)	6.8	2.7	10.1	10.1	11.0
		MSCI EM (Emerging Markets)	0.7	(17.2)	(14.6)	(6.4)	(4.5)	7.9	4.0	11.0		
13.0%	\$ 9,825,346	Pioneer Strategic Income	(0.5)	(2.0)	(1.2)	1.8	4.0	--	--	--	5.3	3.8
13.1%	\$ 9,950,577	Dodge & Cox Income Fund	0.1	(0.7)	(0.6)	--	--	--	--	--	1.8	2.6
		Barclays U.S. Aggregate	(0.6)	0.7	0.6	1.4	3.3	4.1	4.5	--		
5.5%	\$ 4,133,433	GMO: Global Fixed Inc	(0.6)	1.0	(3.6)	(0.3)	2.9	6.8	4.1	5.2	5.8	4.0
		Citigroup World Govt Bond Index	(1.2)	0.5	(3.6)	(2.7)	(0.1)	1.0	3.4	4.0		
5.0%	\$ 3,763,072	GMO: Emerging Mkt Fixed Inc	2.3	(1.1)	0.0	1.6	7.4	15.2	8.5	11.7	11.7	8.6
		JPM EMBI Global Diversified	1.3	(0.5)	1.2	1.0	5.4	9.5	6.9	8.6		
9.8%	\$ 7,382,353	Combined Alternatives (1 mo lag)	(1.2)	(4.0)	(0.3)	3.7	2.0	--	--	--	2.2	2.9
		HFRI FOFs Index (1 mo lag)	(2.8)	(2.8)	1.6	3.5	3.2	--	--	--		

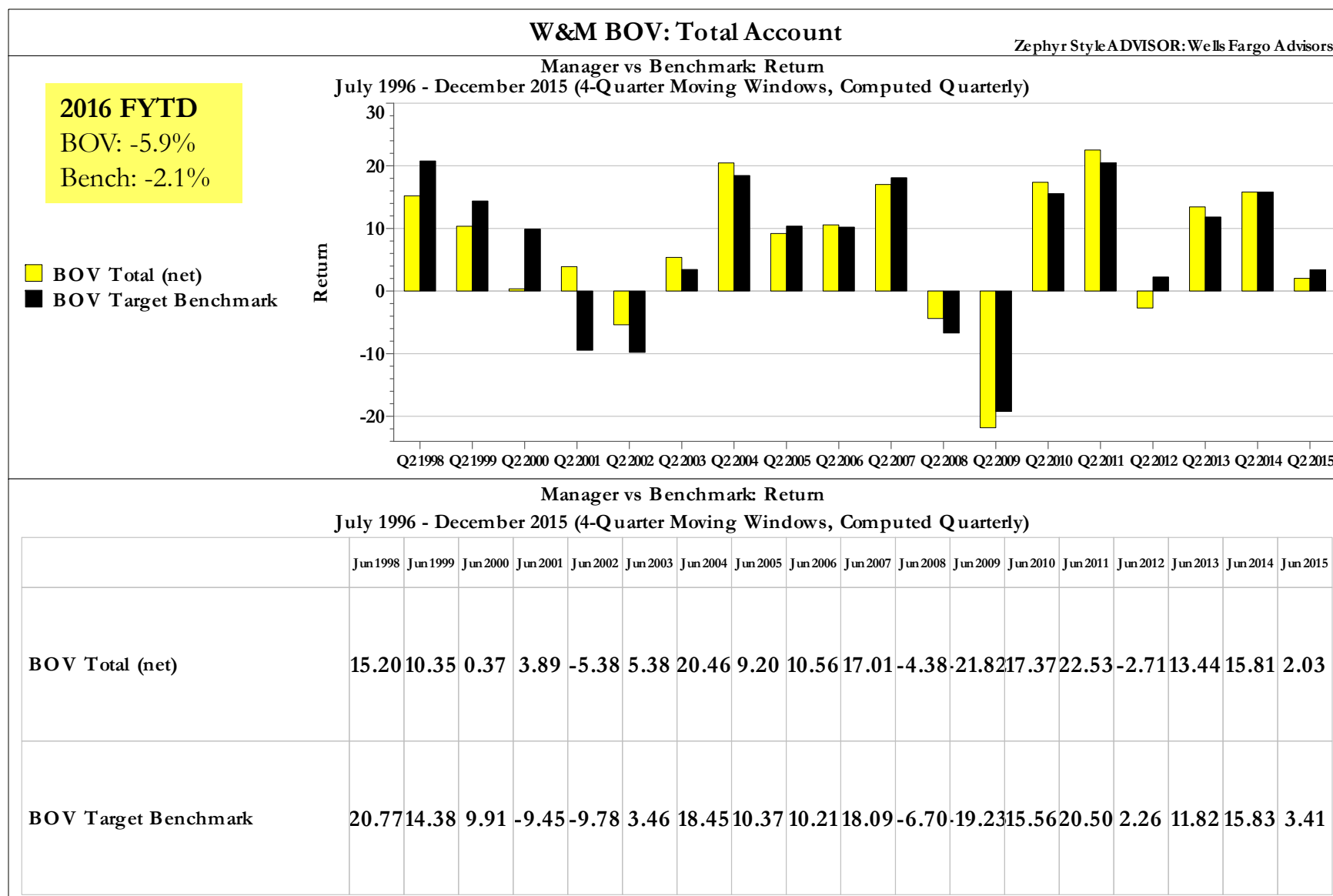
1 Annualized

2 From 11/1/09, 25% S&P 500, 12% Russ Midcap, 7% Russ 2000, 9% MSCI EAFE, 2% MSCI Emerging Mkts Free, 30% Barclays US Aggregate, 5% Citi World Government Bond, 5% JPM EMBI Global Diversified, 5% HFRI 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

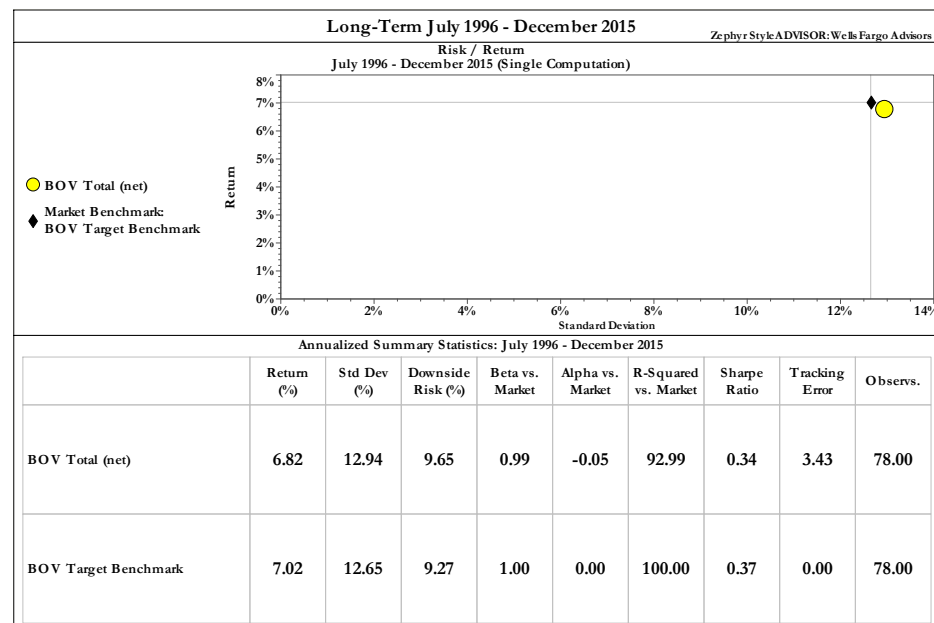
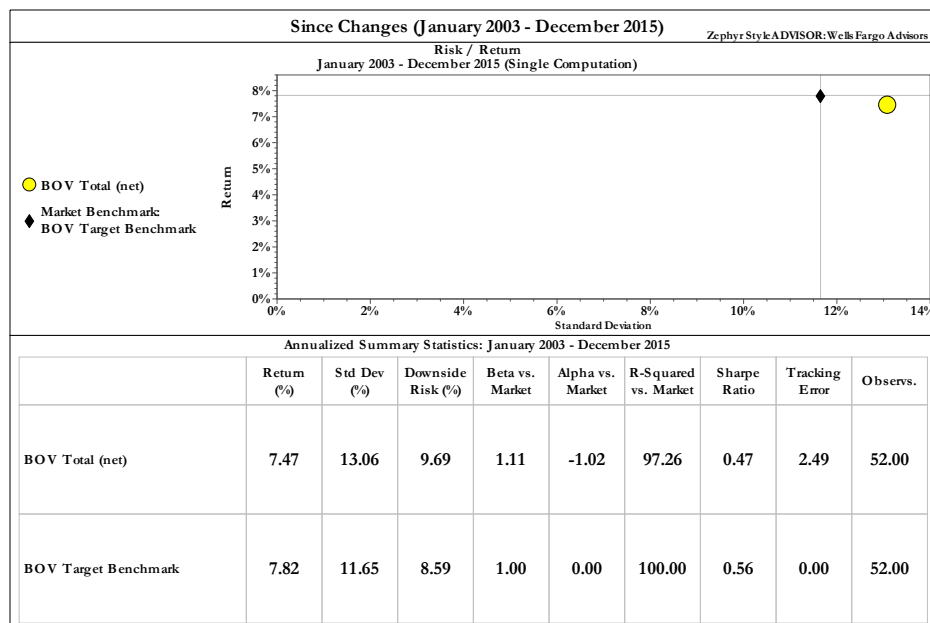
3 From 3/1/12, 44% Russell 3000, 35% Barclays US Aggregate, 11% MSCI World ex US, 10% HFRI; From 1/1/10, 44% Russell 3000, 40% Barclays US Aggregate, 11% MSCI World ex US, 5% HFRI; From 1/1/96 60% Russell 3000, 25% Barclays US Aggregate, 15% MSCI World Ex US

+ 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 4th quarter of 2002. There is no guarantee as to the accuracy of our calculations for the managers or the Total BOV Account.

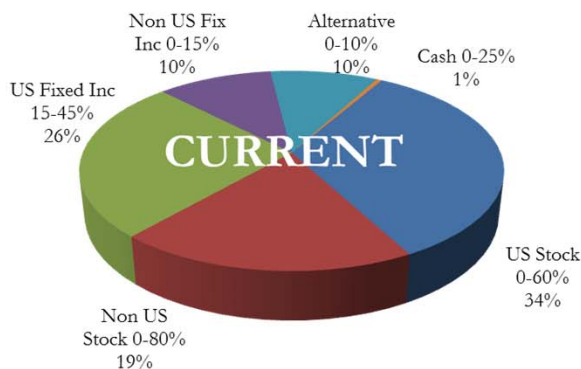
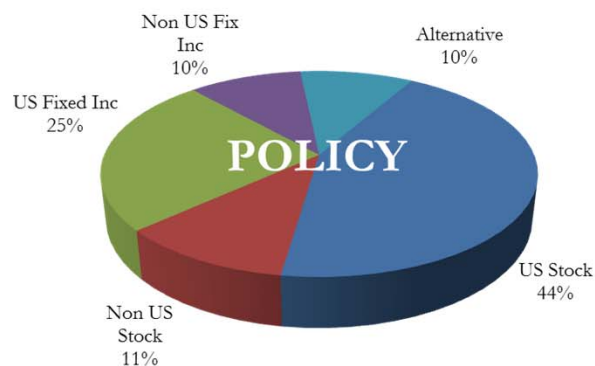
Performance is net of investment management fees



+ see footnote on previous page



* BOV Target Benchmark = From 1/1/03, 40% S&P 500, 12.5% Russell Midcap, 7.5% Russell 2000, 10% MSCI EAFE, 4% 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.



Manager	Domestic Fixed Income	Global Fixed Income	Domestic Equity	Non-US Equity	Alternative	Cash Equiv.	Total
Goldman Sachs Large Growth	0	0	5,679,431	0	0	0	5,679,431
Blackrock Large Value	0	0	5,759,058	0	0	0	5,759,058
Dodge & Cox International	0	0	0	4,875,183	0	0	4,875,183
Grantham, Mayo Int'l and EMD	0	7,896,505	0	0	0	0	7,896,505
Artisan Midcap Value	0	0	4,531,049	0	0	0	4,531,049
MFS International Value	0	0	0	5,852,332	0	0	5,852,332
Dreyfus Small Cap	0	0	4,958,565	0	0	0	4,958,565
State Street Global Advisors	0	0	0	3,942,186	0	0	3,942,186
WF Adv Midcap Growth	0	0	4,666,464	0	0	0	4,666,464
Pioneer Strategic Income	9,825,346	0	0	0	0	0	9,825,346
Dodge & Cox Income Fund	9,950,577	0	0	0	0	0	9,950,577
Cash & Equivalents	0	0	0	0	0	382,042	382,042
Combined Alternatives	0	0	0	0	7,382,353	0	7,382,353
Total BOV Account	19,775,922	7,896,505	25,594,567	14,669,701	7,382,353	382,042	75,701,090
% of Total Fund	26.1%	10.4%	33.8%	19.4%	9.8%	0.5%	

* 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.

July 1, 2015 – December 31, 2015

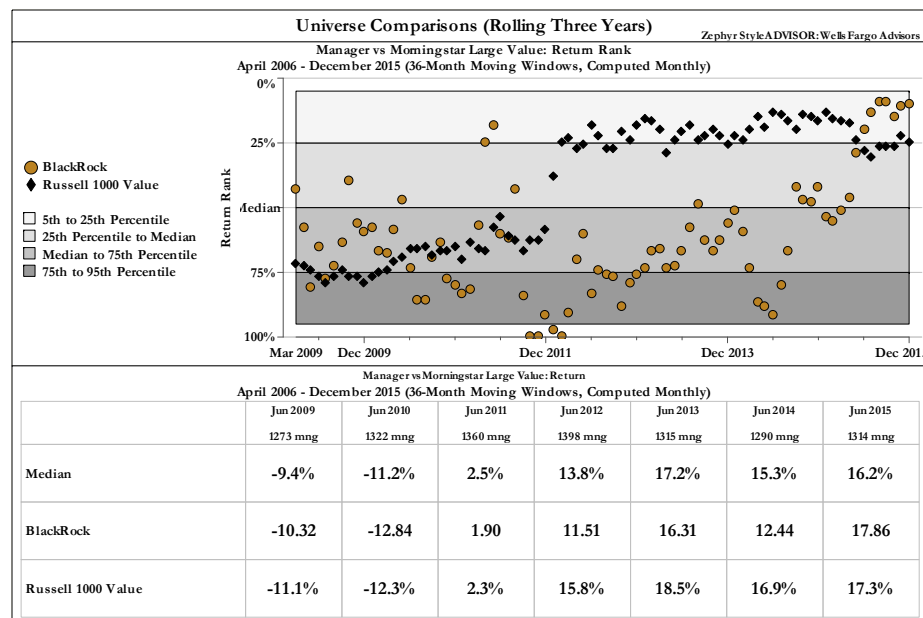
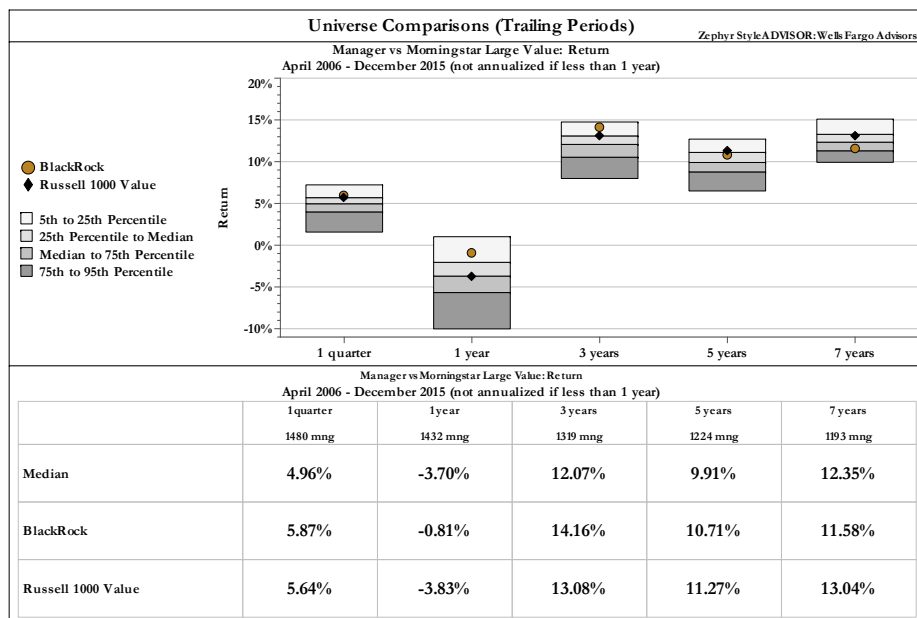
	William & Mary BOV Endowment
6/30/15 Market Value	80,763,997
Net Additions/Withdrawals	(333,735)
Expenses	<u>(56,947)</u>
<i>Net Cash Flow</i>	<i>(390,683)</i>
Net Income	1,041,966
Net Realized Gain/(Loss)	2,988,215
Change Unrealized Gain/(Loss)	<u>(8,702,405)</u>
<i>Total Investment Gain/(Loss)</i>	<i>(4,672,224)</i>
12/31/15 Market Value	75,701,090

•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.

II. Equity Sector (Large-Cap Value*)

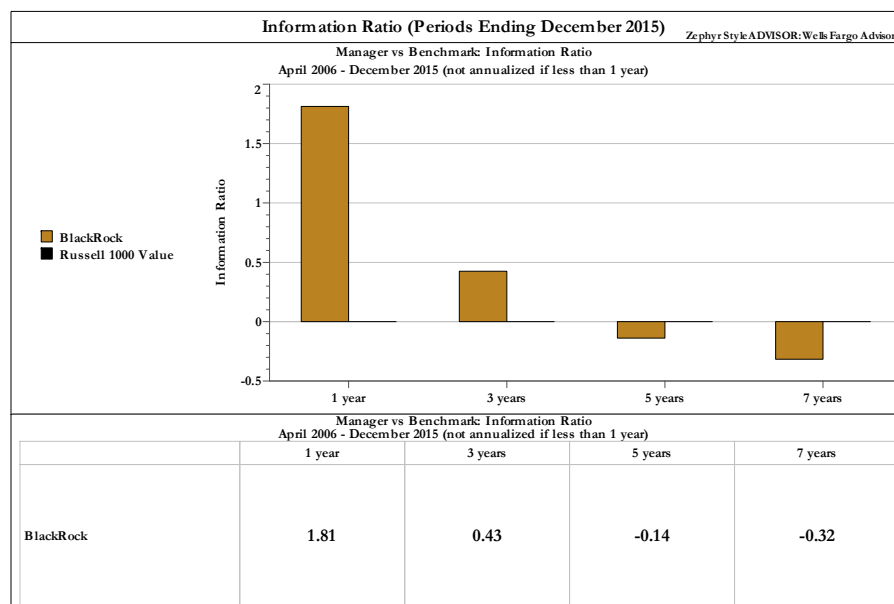
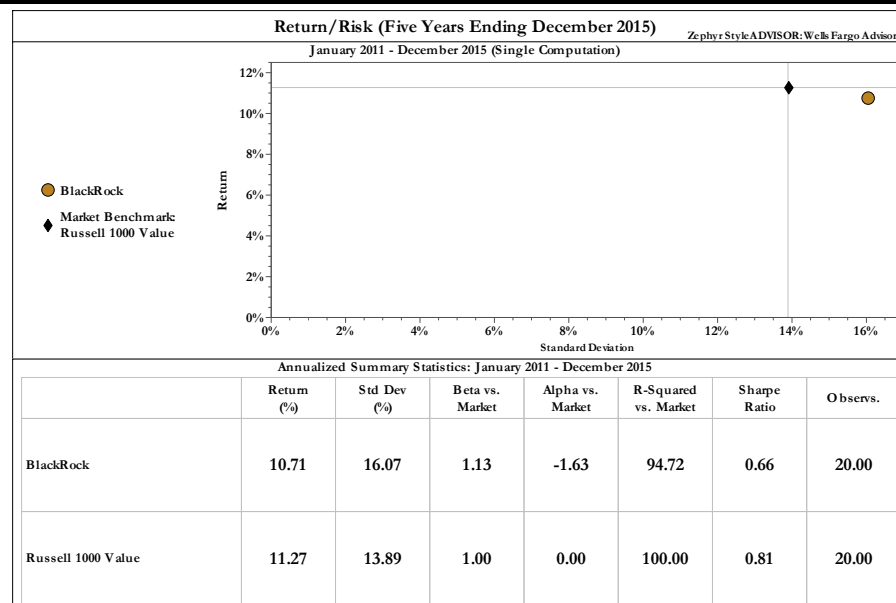
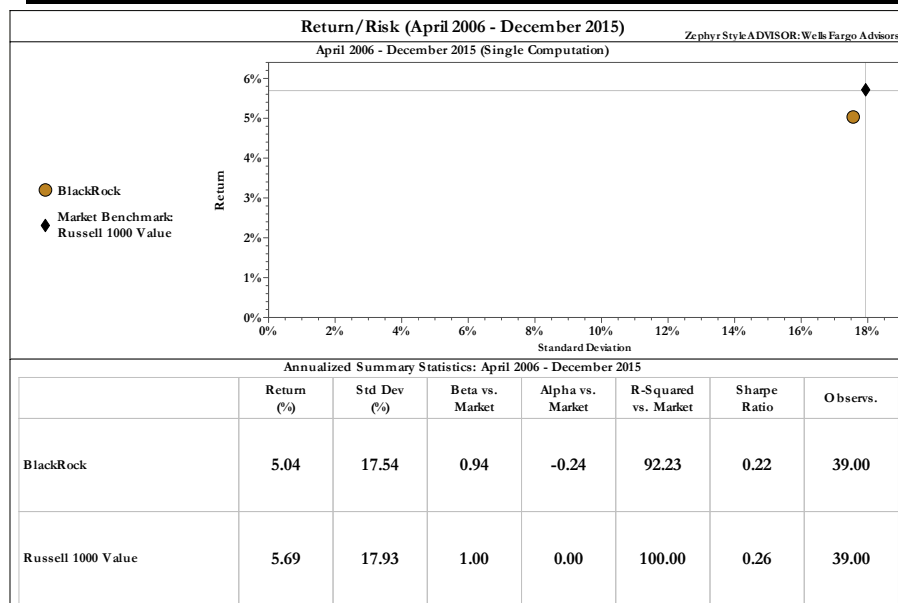
Periods Ending December 31, 2015 - Performance



* 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.

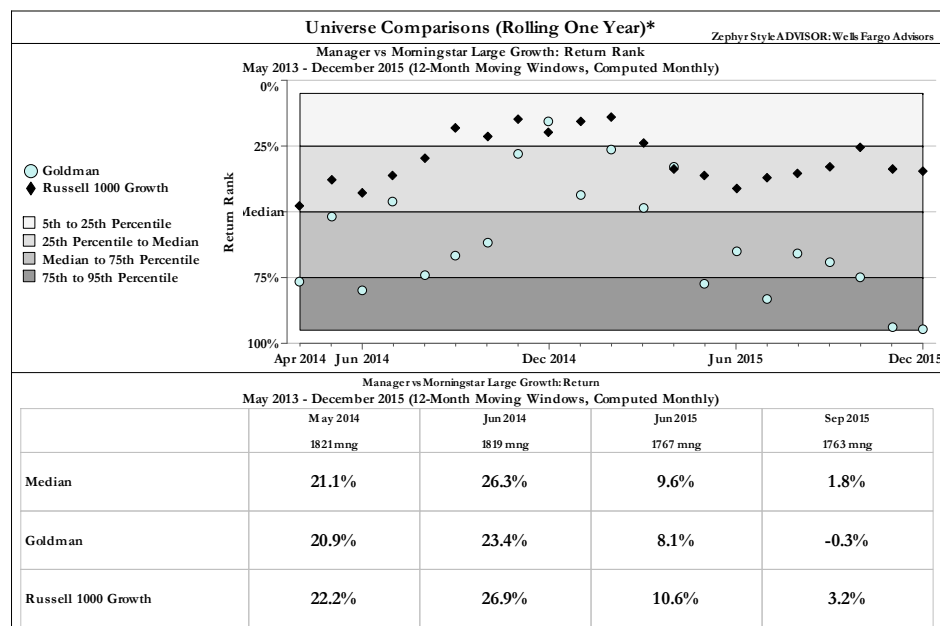
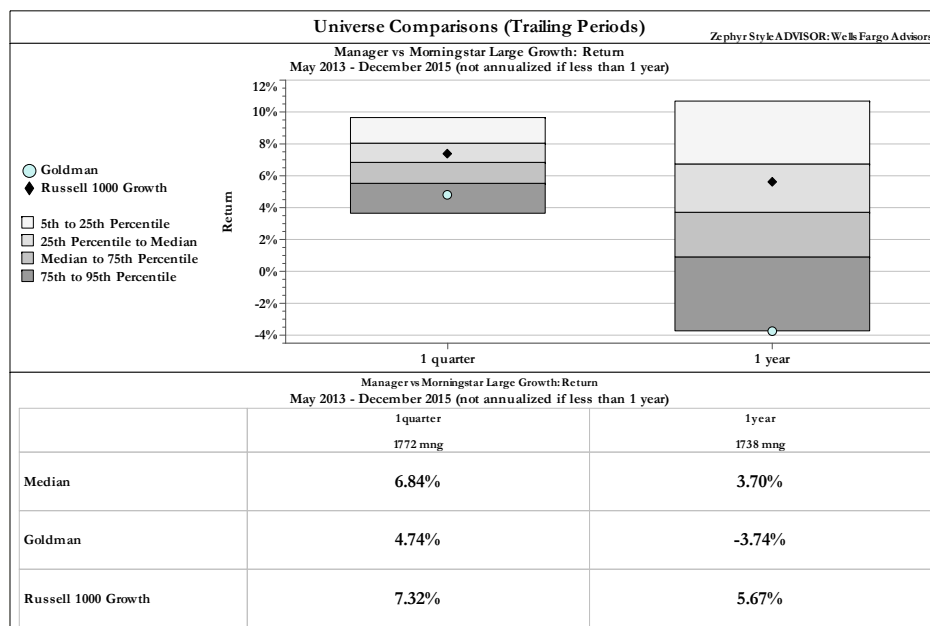
Equity Sector (Large-Cap Value*)

Period Ending December 31, 2015– Risk Measures



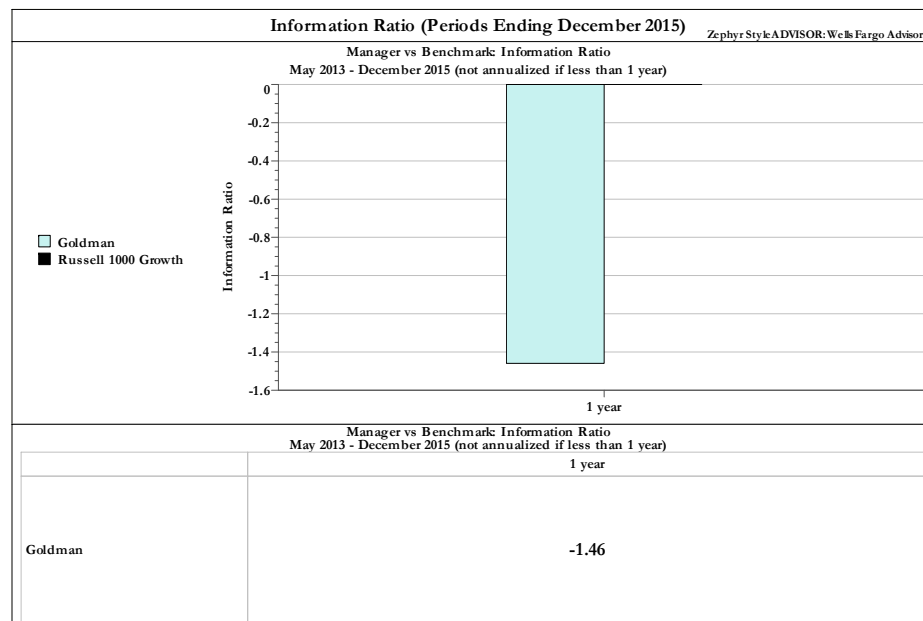
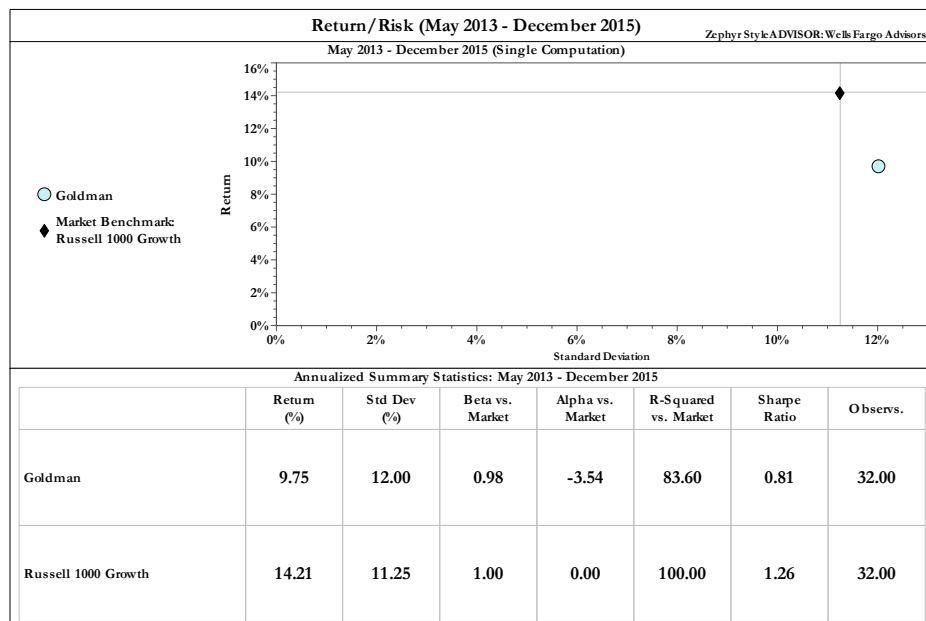
Equity Sector (Large-Cap Growth)

Periods Ending December 31, 2015 - Performance



Equity Sector (Large-Cap Growth)

Periods Ending December 31, 2015 - Performance



Characteristic	Blackrock	Goldman	Combined BOV Large-	S&P 500	Over/(Under) Weight
Median Cap (\$MM)	34,050	41,070	37,536	17,460	20,076
Avg Cap (\$MM)	94,410	116,980	105,616	128,540	(22,924)
Yield (%)	2.13	1.31	1.72	2.17	(0.45)
P/E Ratio	18.44	27.94	23.16	22.19	0.97
Price / Book	2.48	7.15	4.80	4.25	0.55
# of Stocks	80	20	96	504	

Blackrock

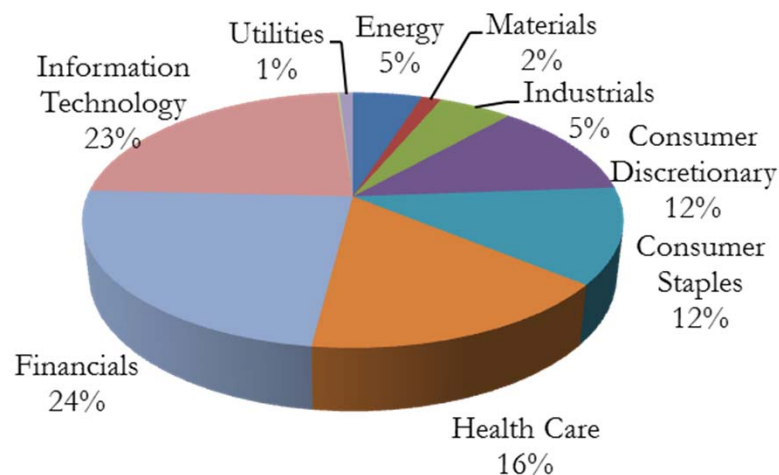
Top Ten Equity Holdings	% of Portfolio
JPMorgan Chase	4.8
Bank of America	3.9
Citigroup	3.5
US Bancorp	3.2
American International	3.1
Cisco Systems	3.0
Comcast	2.3
Carnival	2.2
Exxon Mobil	2.2
Aetna Inc	2.2

Goldman

Top Ten Equity Holdings	% of Portfolio
Apple Inc.	10.1
Alphabet	8.1
American Tower Corporation	7.3
Equinix Inc	6.9
Walgreens Boots Alliance Inc	6.0
Abbott Laboratories	5.9
PVH Corp.	5.7
Costco Wholesale	5.1
Priceline Group Inc	5.0
LinkedIn	4.7

Data Source: Goldman, Blackrock, InvestorForce

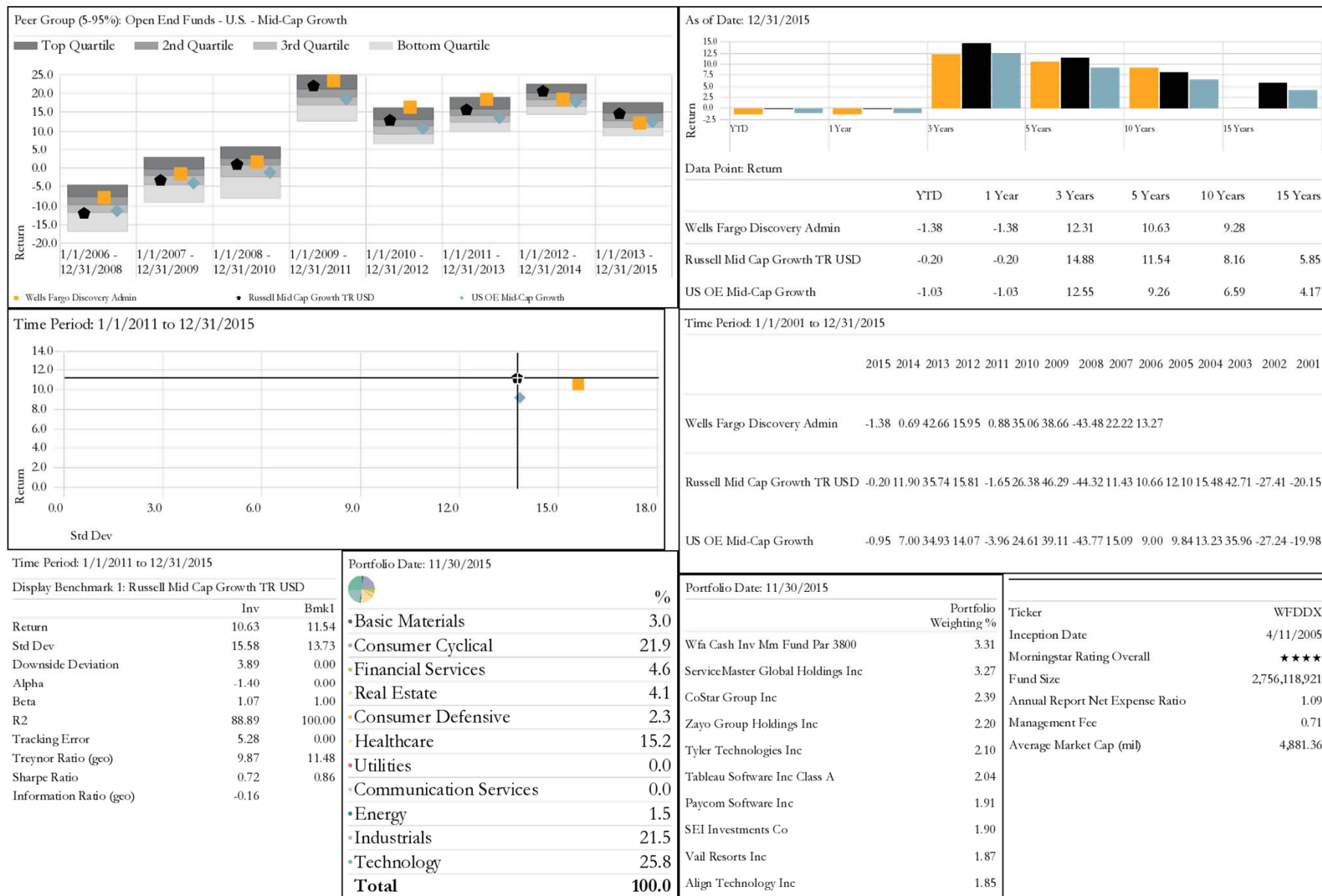
Combined BOV Large-Cap Sector Distribution



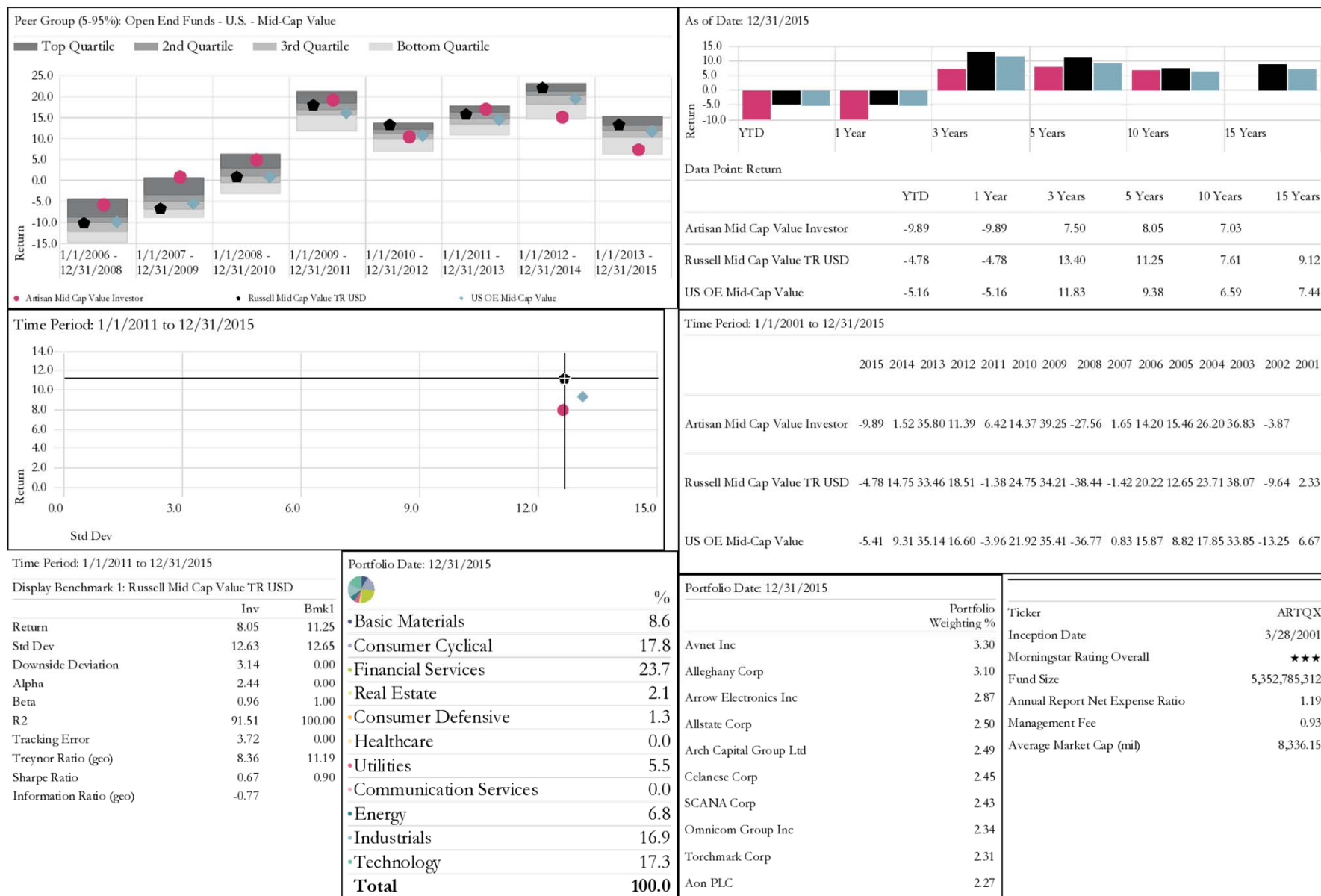
	Blackrock Weight	Goldman Weight	Combined BOV Large-	S&P 500 Weight	Over / (Under)
Energy	9.8%	0.0%	4.9%	6.5%	-1.6%
Materials	2.8%	0.0%	1.4%	2.8%	-1.4%
Industrials	8.3%	2.2%	5.3%	10.0%	-4.7%
Consumer Discretionary	11.6%	12.8%	12.2%	12.9%	-0.7%
Consumer Staples	6.7%	17.5%	12.1%	10.1%	2.0%
Health Care	16.1%	16.1%	16.1%	15.2%	0.9%
Financials	26.4%	21.1%	23.7%	16.5%	7.2%
Information Technology	15.9%	30.4%	23.1%	20.7%	2.4%
Telecomm Service	0.3%	0.0%	0.2%	2.4%	-2.2%
Utilities	1.9%	0.0%	1.0%	3.0%	-2.0%

Data Source: Goldman, Blackrock, InvestorForce

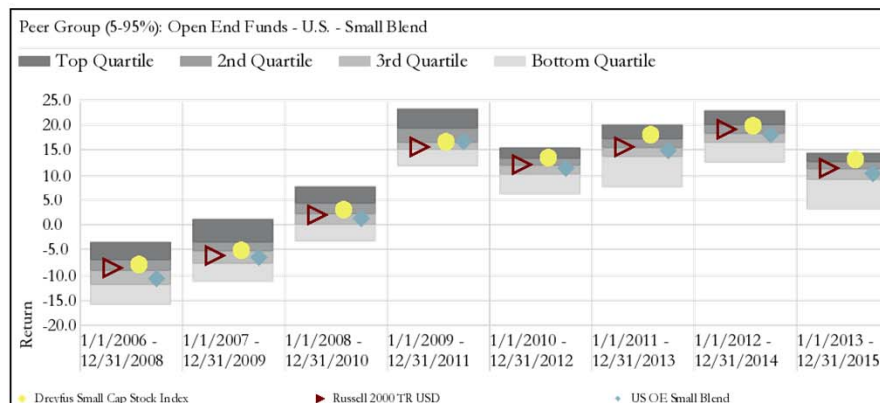
Equity Sector (Mid Cap Growth)



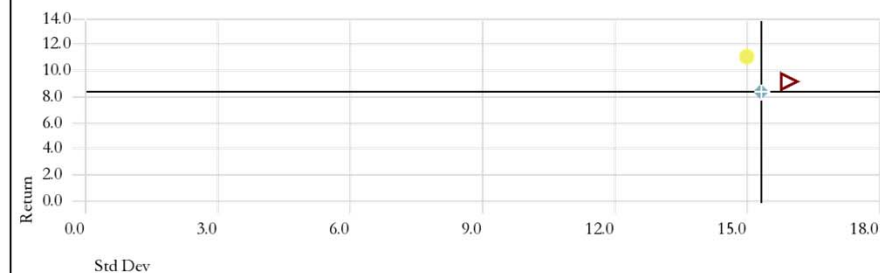
Equity Sector (Mid Cap Value)



Equity Sector (Small Cap)



Time Period: 1/1/2011 to 12/31/2015



Time Period: 1/1/2011 to 12/31/2015

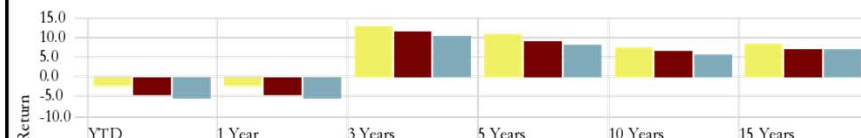
Display Benchmark 2: Russell 2000 TR USD

	Inv	Bmk2
Return	11.15	9.19
Std Dev	15.00	15.95
Downside Deviation	1.19	0.06
Alpha	2.68	0.39
Beta	0.94	1.00
R2	98.52	99.99
Tracking Error	2.10	0.12
Treynor Ratio (geo)	11.86	9.11
Sharpe Ratio	0.78	0.63
Information Ratio (geo)	1.05	3.43

Portfolio Date: 12/31/2015

	%
•Basic Materials	6.0
•Consumer Cyclical	14.0
•Financial Services	16.3
•Real Estate	7.8
•Consumer Defensive	3.5
•Healthcare	11.4
•Utilities	4.1
•Communication Services	0.9
•Energy	2.2
•Industrials	16.9
•Technology	17.0
Total	100.0

As of Date: 12/31/2015



Data Point: Return

	YTD	1 Year	3 Years	5 Years	10 Years	15 Years
Dreyfus Small Cap Stock Index	-2.24	-2.24	13.20	11.15	7.77	8.60
Russell 2000 TR USD	-4.41	-4.41	11.65	9.19	6.80	7.28
US OE Small Blend	-5.33	-5.33	10.58	8.34	5.91	7.24

Time Period: 1/1/2001 to 12/31/2015

	2015	2014	2013	2012	2011	2010	2009	2008	2007	2006	2005	2004	2003	2002	2001
Dreyfus Small Cap Stock Index	-2.24	5.41	40.76	16.02	0.82	26.05	25.22	-30.77	-0.62	14.69	7.31	22.21	37.74	-14.73	5.94
Russell 2000 TR USD	-4.41	4.89	38.82	16.35	-4.18	26.85	27.17	-33.79	-1.57	18.37	4.55	18.33	47.25	-20.48	2.49
US OE Small Blend	-5.38	3.79	37.39	15.46	-4.07	25.61	31.80	-36.56	-1.10	15.03	6.75	18.94	43.41	-16.22	8.92

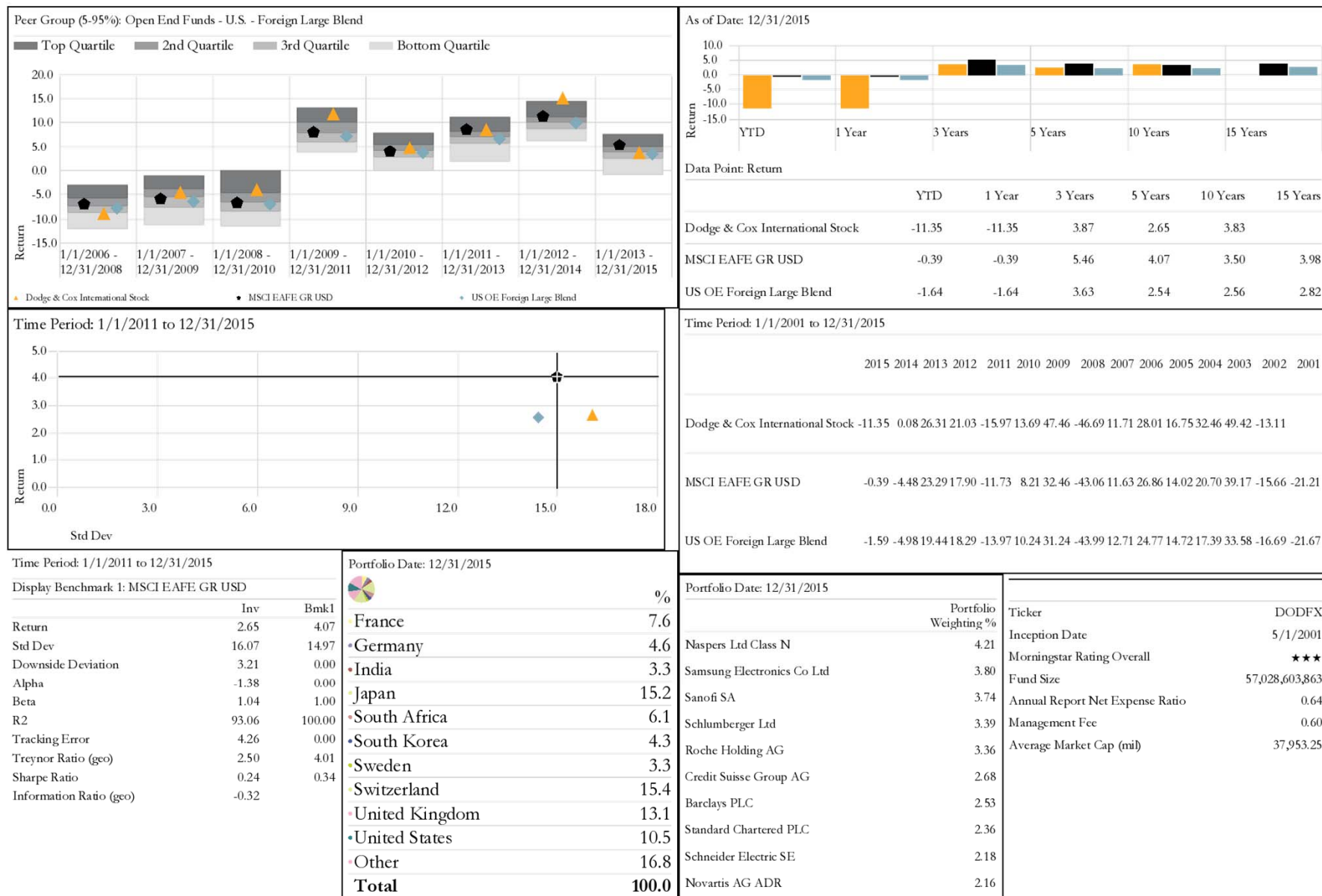
Portfolio Date: 9/30/2015

	Portfolio Weighting %	Ticker	DISSX
MarketAxess Holdings Inc	0.57	Inception Date	6/30/1997
Amsurg Corp	0.57	Morningstar Rating Overall	★★★★
Abiomed Inc	0.54	Fund Size	1,542,705,587
Post Properties Inc	0.53	Annual Report Net Expense Ratio	0.50
Piedmont Natural Gas Co	0.52	Management Fee	0.25
Microsemi Corp	0.51	Average Market Cap (mil)	1,392.35
Pool Corp	0.49		
j2 Global Inc	0.49		
PrivateBancorp Inc	0.49		
EPR Properties	0.47		

Source: Morningstar Direct

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Equity Sector (International Developed)

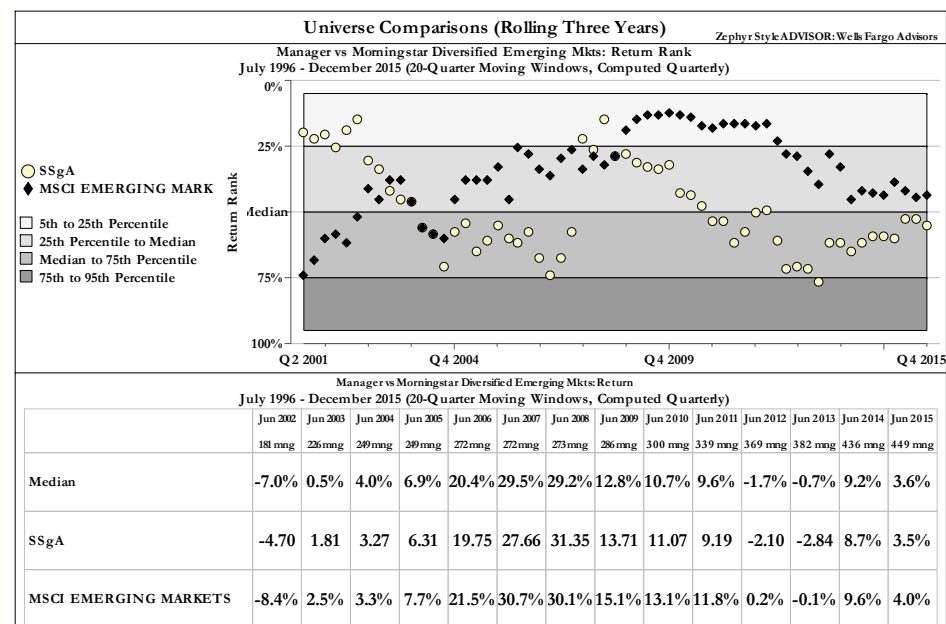
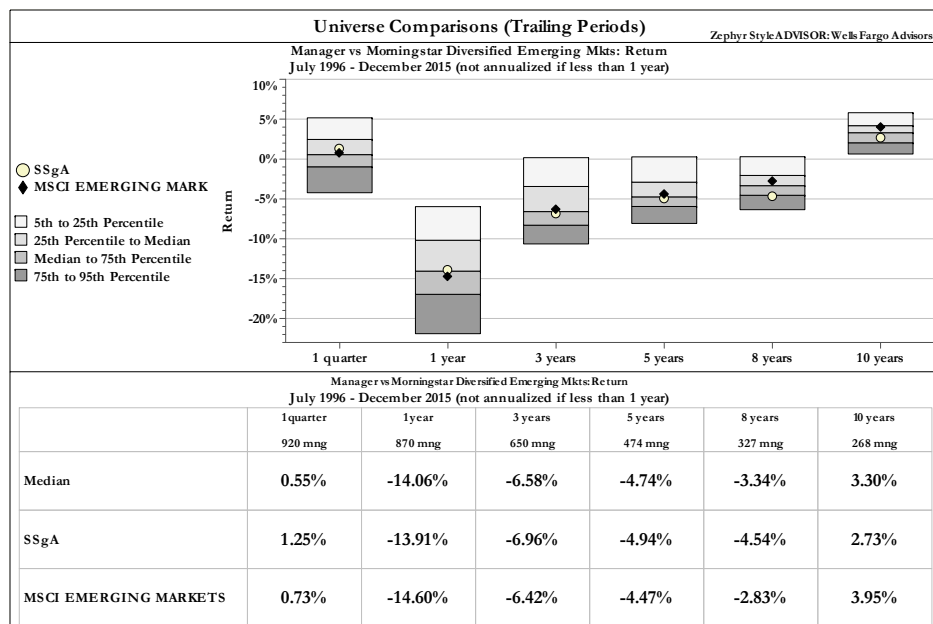


Equity Sector (International Developed)



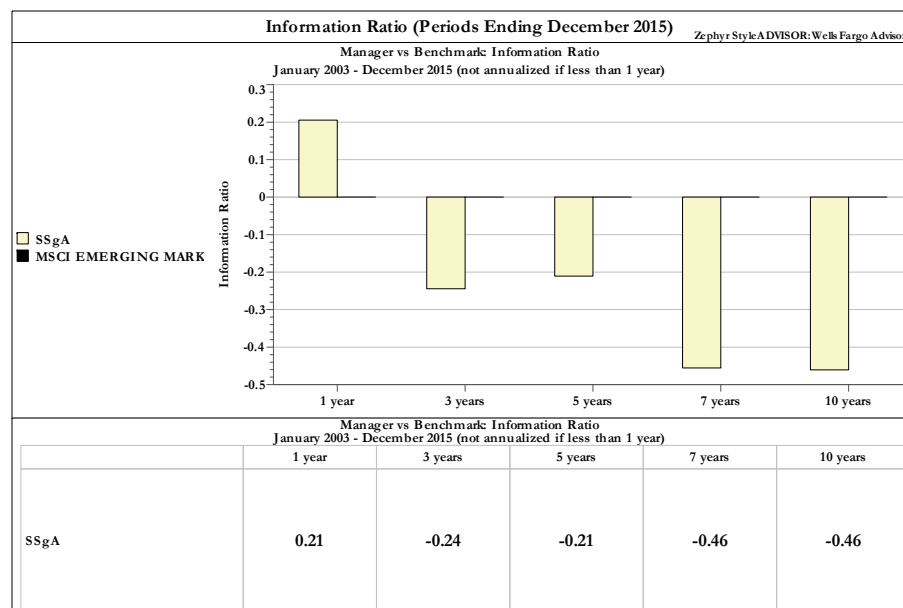
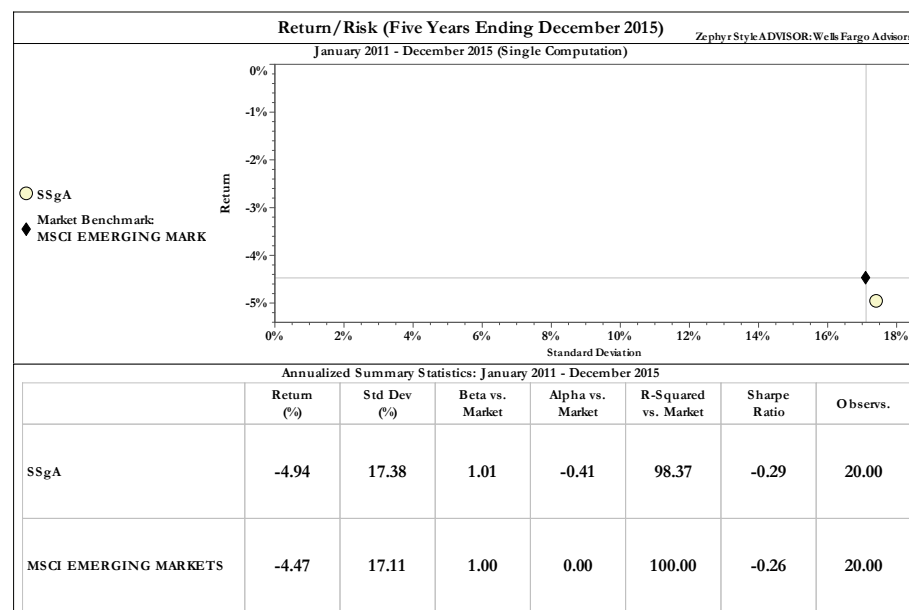
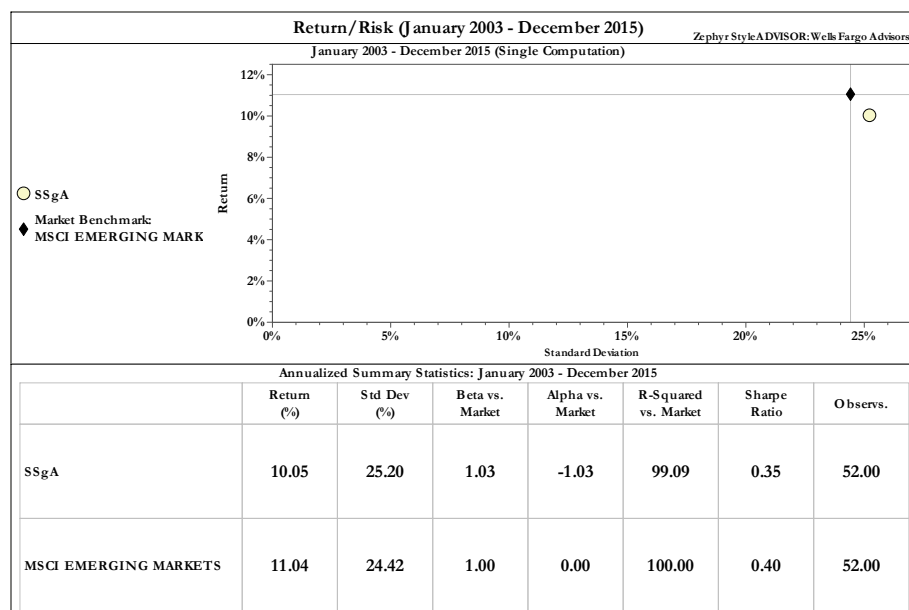
Equity Sector (Emerging Markets)

Periods Ending December 31, 2015 - Performance

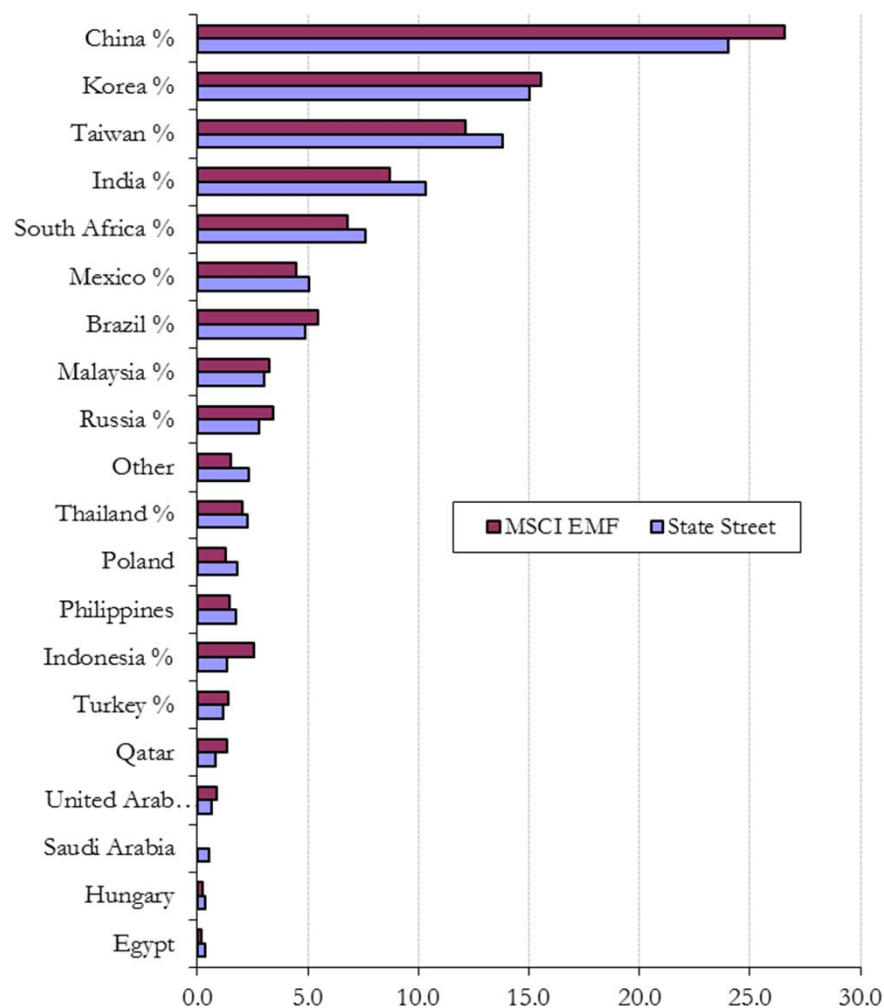


Equity Sector (Emerging Markets)

Periods Ending December 31, 2015– Risk Measures



Country Distribution



	State Street	MSCI EM
Price/Earnings	10.22	11.58
Price/Book	1.39	1.39
Yield	3.07	2.81
Weighted Average Cap (\$billions)	22,579	22,558
# Holdings	318	834

Data Source: State Street, MSCI

Equity Sector (Non-U.S. Exposure)

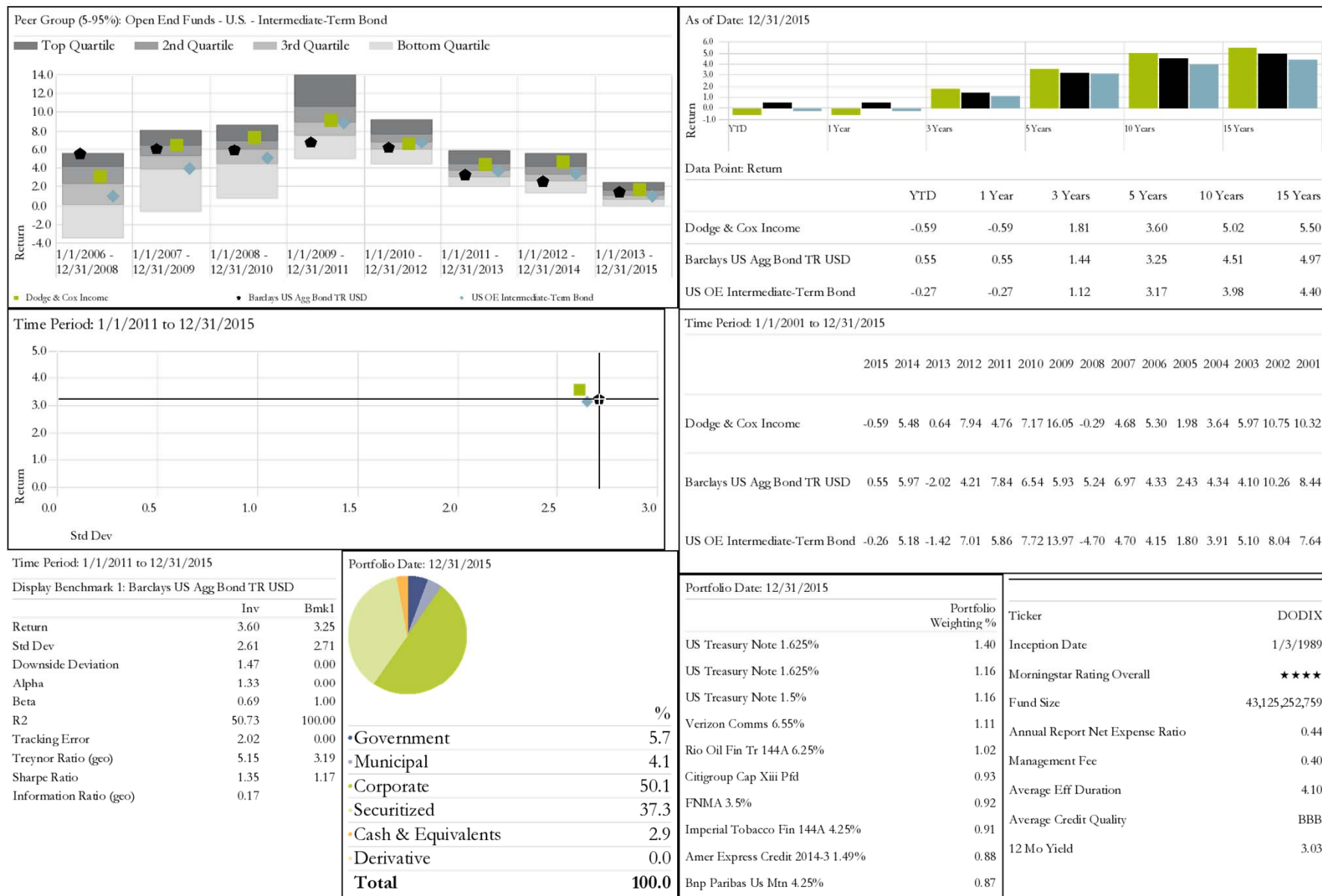
As of December 31, 2015

	MSCI EM	MSCI EAFE	MFS® International Value I	Dodge & Cox International Stock	SSgA Emerging Market	Combined
Australia		6.7	3.5			1.4
Austria		0.2				0.0
Belgium		1.4				0.0
Brazil	5.5			2.8	4.9	2.2
Canada			1.7	0.6		0.9
Chile	1.2				0.3	0.1
China	26.5	0.2	0.3	2.8	24.0	7.5
Denmark		1.9	1.0			0.4
France		9.7	7.7	6.7		5.3
Germany		9.1	11.0	4.0		5.7
Greece	0.5				0.1	0.0
Hong Kong	0.1	2.9	0.4	1.4		0.7
Hungary	0.3				0.4	0.1
India	8.7			2.9	10.3	3.7
Indonesia	2.6				1.4	0.4
Ireland		0.2	0.4			0.2
Italy		2.3	0.3			0.1
Japan		23.4	22.5	13.4		13.4
Malaysia	3.3				3.0	0.8
Mexico	4.5			2.4	5.1	2.2
Netherlands		2.9	3.2	2.2		2.0
Norway		0.6	1.1			0.4
Philippines	1.4				1.8	0.5
Poland	1.3				1.8	0.5
Russia	3.4				2.8	0.7
South Africa	6.6			5.4	7.6	3.8
South Korea	15.5			3.8	15.0	5.3
Spain		3.1	1.4	0.6		0.8
Sweden		2.9	2.7	2.9		2.0
Switzerland		9.4	10.7	13.6		8.8
Taiwan	12.1		1.6		13.8	4.4
Thailand	2.0			0.5	2.3	0.8
Turkey	1.4			1.2		0.4
United Kingdom		19.3	17.4	11.5		10.8
United States	0.1	0.5	9.3	9.3		6.8
Other Countries	2.2	0.2		0.3	1.0	0.4

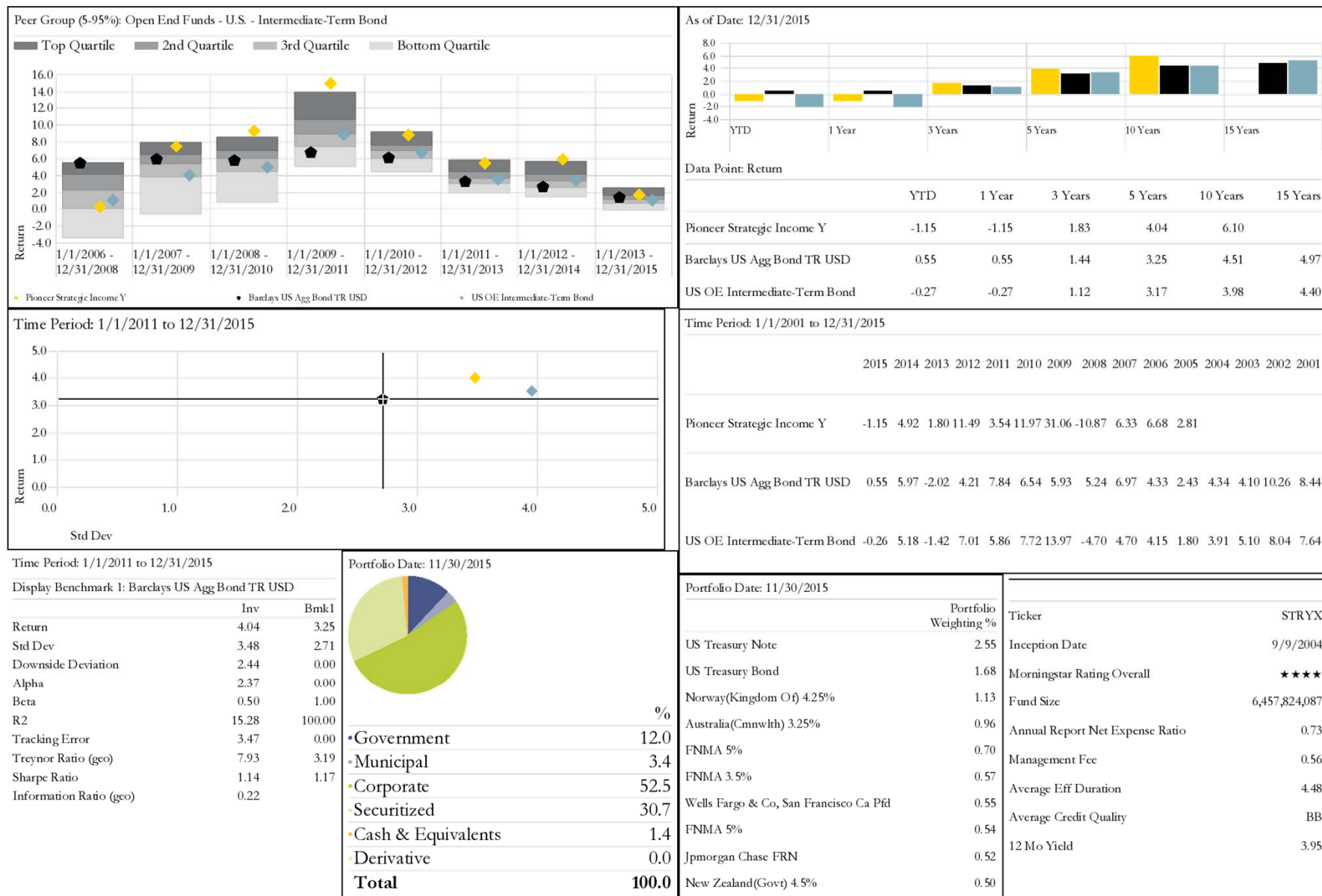
*MFS data as of 11/30/2015; Dodge & Cox and SSgA data as of 12/31/2015

Highlighted rows are countries represented in MSCI EAFE (or developed countries)

III. Fixed Income Sector (US Bonds)



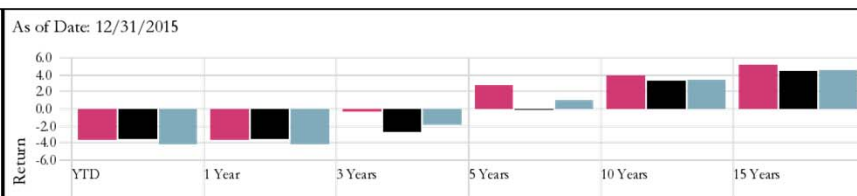
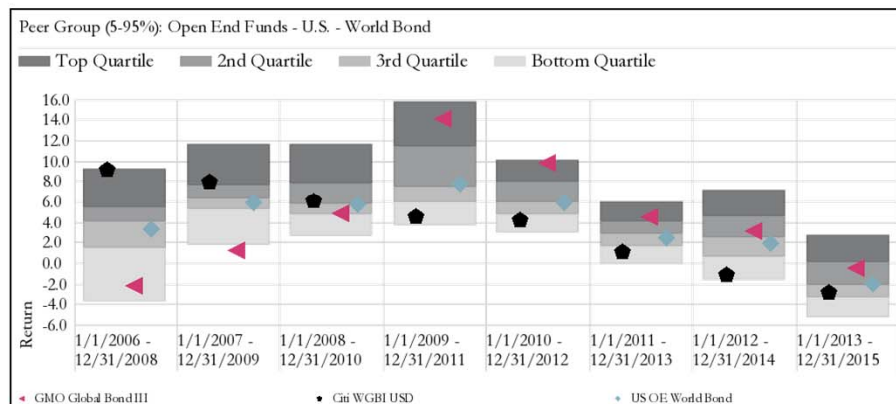
Fixed Income Sector (US Bonds)



Fixed Income Sector (EM Debt)



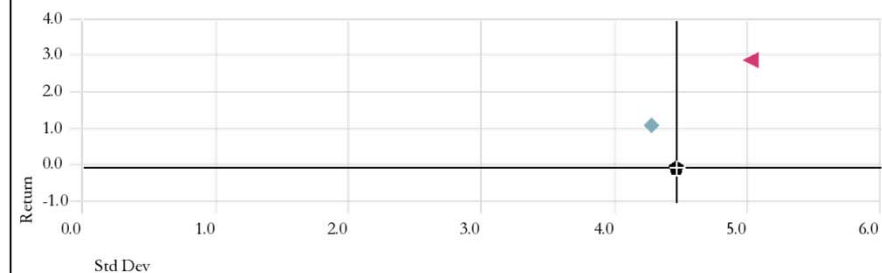
Fixed Income Sector (World Bonds)



Data Point: Return

	YTD	1 Year	3 Years	5 Years	10 Years	15 Years
GMO Global Bond III	-3.59	-3.59	-0.28	2.89	4.07	5.31
Citi WGBI USD	-3.57	-3.57	-2.70	-0.08	3.44	4.59
US OE World Bond	-4.13	-4.13	-1.81	1.05	3.53	4.65

Time Period: 1/1/2011 to 12/31/2015



Time Period: 1/1/2001 to 12/31/2015

	2015	2014	2013	2012	2011	2010	2009	2008	2007	2006	2005	2004	2003	2002	2001
GMO Global Bond III	-3.59	4.59	-1.65	7.19	8.47	14.14	20.43	-15.70	2.76	8.53	-5.61	12.29	22.13	13.31	-0.62
Citi WGBI USD	-3.57	-0.48	-4.00	1.65	6.35	5.17	2.55	10.89	10.95	6.12	-6.88	10.35	14.91	19.49	-0.99
US OE World Bond	-4.00	1.72	-2.62	8.09	3.39	6.35	13.12	-1.57	7.28	5.42	-3.33	8.98	13.79	14.10	1.95

Time Period: 1/1/2011 to 12/31/2015

Display Benchmark 1: Citi WGBI USD

	Inv	Bmk1
Return	2.89	-0.08
Std Dev	5.02	4.46
Downside Deviation	1.43	0.00
Alpha	2.96	0.00
Beta	1.00	1.00
R2	78.29	100.00
Tracking Error	2.34	0.00
Treynor Ratio (geo)	2.84	-0.14
Sharpe Ratio	0.58	-0.01
Information Ratio (geo)	1.27	

Portfolio Date: 8/31/2015

	%
• Argentina	0.7
• Brazil	0.7
• Indonesia	1.1
• Mexico	3.0
• Philippines	1.1
• Russia	0.9
• Turkey	1.2
• United States	73.3
• Venezuela	1.9
• Other Countries	11.6
• Other	4.3
Total	100.0

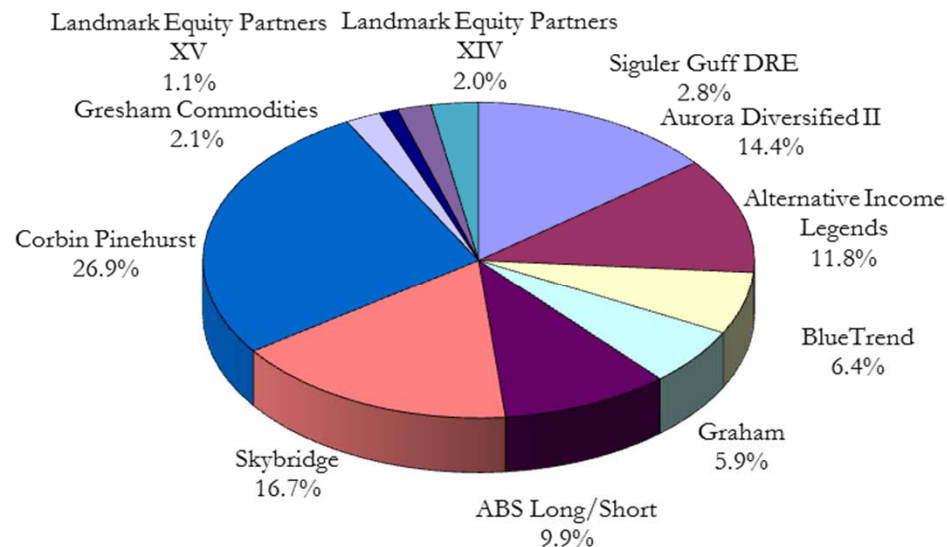
Portfolio Date: 8/31/2015

	Portfolio Weighting %	Ticker	GMGBX
U.S. Treasury Principal Strip Bond	22.92	Inception Date	12/28/1995
GMO World Opportunity Overlay	10.77	Morningstar Rating Overall	★★★
Japan Government Ten Year Bond, 1.30%	8.56	Fund Size	33,482,464
GMO US Treasury	7.70	Annual Report Net Expense Ratio	0.34
GMO Emerging Country Debt IV	5.11	Management Fee	0.19
GMO Debt Opportunities VI	5.01	Average Eff Duration	
Buoni Poliennali Del Tesoro, 3.75%	4.41	Average Credit Quality	
Japan Government Thirty Year Bond, 2.40%	4.36	12 Mo Yield	0.00
Government Of France, RegS, 3.25%	4.27		
Government Of Canada, 1.50%	3.99		

Source: Morningstar Direct

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Alternative Breakdown (%)



<u>Manager</u>	<u>% of Account</u>	<u>Estimated Market Value</u>	<u>Verified Values</u>	<u>Verified As Of</u>
Aurora Diversified II	14.4%	\$1,061,435	\$1,058,490	10/31/2015
Alternative Income Legends	11.8%	\$874,032	\$877,262	10/31/2015
BlueTrend	6.4%	\$475,045	\$460,871	12/31/2015
Graham	5.9%	\$437,160	\$427,412	12/31/2015
ABS Long/Short	9.9%	\$728,640	\$729,147	11/30/2015
Skybridge	16.7%	\$1,236,441	\$1,312,591	11/30/2015
Corbin Pinehurst	26.9%	\$1,983,609	\$1,982,038	10/31/2015
Gresham Commodities	2.1%	\$153,301	\$147,903	12/31/2015
Landmark Equity Partners XV	1.1%	\$81,332	\$74,613	6/30/2015
Landmark Equity Partners XIV	2.0%	\$145,369	\$114,376	6/30/2015
Siguler Guff DRE	2.8%	<u>\$205,988</u>	<u>\$193,294</u>	<u>6/30/2015</u>
Total	100.0%	\$7,382,353	\$7,377,997	

Data Source: Wells Fargo Advisors

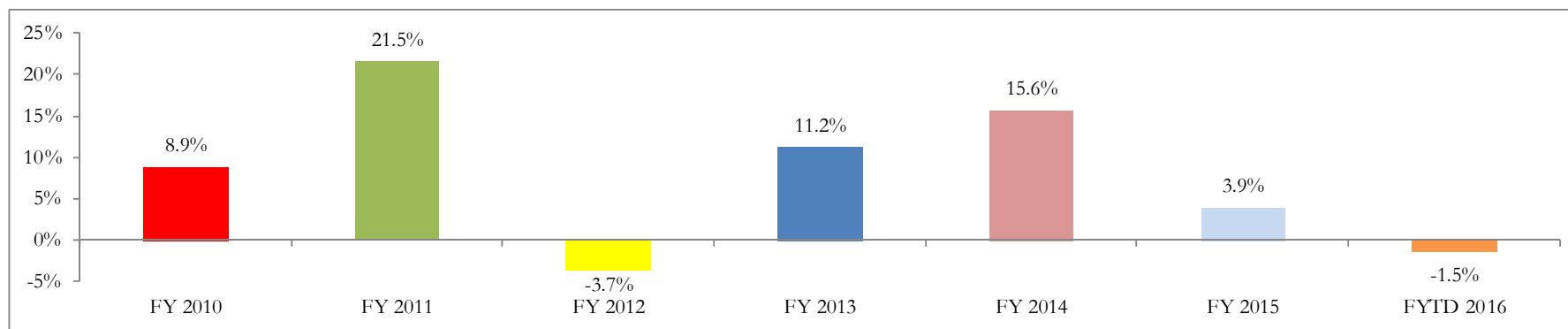
% of Account	\$ Value		4q15	FYTD	One Year	Three Years*	Five Years*	Incept (Mgr)*	Incept Bench*	Performance Inception
100%	\$ 7,382,353	Combined Alternatives (1 mo lag)	(1.2)	(4.1)	(0.4)	3.7	2.0	2.2	2.9	Jan-10
		HFRI FoF Index (1 mo lag)	(0.6)	(0.6)	0.6	2.7	2.9			
		<u>Lower Volatility</u>								
14%	\$ 1,061,435	Aurora Diversified II	(1.0)	(2.9)	(0.8)	3.6	--	1.6	2.4	Feb-11
		<i>HFRI Conservative Index</i>	(1.8)	(1.8)	1.1	2.4	--			
		<u>Diversified</u>								
27%	\$ 1,983,609	Corbin Pinehurst	(1.7)	(3.4)	(0.3)	5.4	4.8	5.1	2.9	Jan-10
12%	\$ 874,032	Alternative Income Legends	1.2	(4.4)	(3.5)	--	--	(1.7)	1.6	Jun-14
17%	\$ 1,236,441	SkyBridge	(4.0)	(6.9)	(2.4)	--	--	(2.5)	0.8	Oct-14
		<i>HFRI Fund of Funds</i>	(0.6)	(0.6)	0.6	2.7	2.9			
		<u>Hedged Equity</u>								
10%	\$ 728,640	ABS Global L/S (K2 prior to 12/12)	(0.1)	(1.2)	3.8	8.4	5.4	4.7	4.2	Jan-10
		<i>HFRI Equity Hedge</i>	(2.3)	(2.3)	(1.1)	3.3	4.2			
		<u>Managed Futures</u>								
6%	\$ 475,045	BlueTrend	2.8	0.5	4.6	1.4	--	0.3	1.7	Feb-11
6%	\$ 437,160	Graham	1.3	(3.7)	3.7	10.2	10.2	0.9	2.5	Jan-10
		<i>CS Tremont Managed Futures Index</i>	4.1	4.1	3.0	2.8	2.5			
		<u>Commodities</u>								
2%	\$ 153,301	Gresham Commodities	(11.7)	(21.4)	(29.9)	(17.7)	--	(12.6)	(13.1)	Feb-11
		<i>Dow UBS Commodity Index</i>	(10.8)	(10.8)	(28.2)	(13.1)	--			
		<u>Private Equity</u>								
2%	\$ 145,369	Landmark Equity Partners XIV						12.3		Jan-10
1%	\$ 81,332	Landmark Equity Partners XV						21.3		Jun-14
3%	\$ 205,988	Singular Guff DRE						9.7		Mar-11

All returns are on a one-month lag. Performance greater than 1 year is annualized.

Data Source: Wells Fargo Advisors

IV. Green Fund

Performance - As of December 31, 2015



Performance Inception Date: January 23, 2009

Since Inception ROR: 9.35%

Fiscal Year-To-Date 2015 ROR: -1.46%

Beginning Market Value (July 1, 2015): \$ 381,908

Quarter

Contributions

Withdrawals

3Q15

4Q15

1Q16

2Q16

\$ 20,000

Total Net Flows FYTD \$ 20,000

Invested Capital FYTD \$ 381,908

Appreciation/Depreciation \$ (5,446)

Ending Market Value (December 31, 2015) \$ 396,462

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.

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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.

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. Stottlemeyer, 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

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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

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Keith S. Fimian
James A. Hixon
William H. Payne II
Karen Kennedy Schultz
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COMMITTEE ON AUDIT AND COMPLIANCE

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 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
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 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**

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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

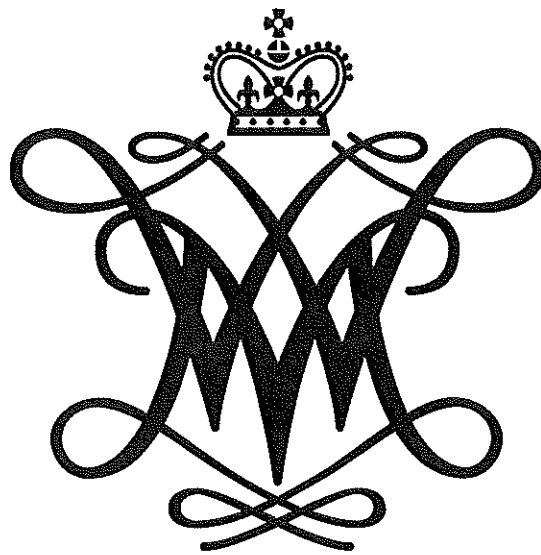
COMMITTEE ON STUDENT AFFAIRS

Lisa E. Roday, Chair

William H. Payne II, Vice Chair

Virginia M. Ambler

THE BOARD OF VISITORS
OF THE COLLEGE
OF WILLIAM & MARY
IN VIRGINIA



BOARD MEETING

Board Room - Blow Memorial Hall

February 5, 2016

MEETING AGENDA
Board of Visitors
The College of William and Mary

February 5, 2016 - 10:30 a.m.
Board Room - Blow Memorial Hall

- I. Welcome and call to order Rector Todd A. Stottlemeyer
- II. Approval of Minutes – November 18-20, 2015 Mr. Stottlemeyer
- III. Opening Remarks Mr. Stottlemeyer
President W. Taylor Reveley III
- IV. Closed Session (if necessary) Mr. Stottlemeyer
- V. Reports of Standing Committee chairs
 - A. Richard Bland College Committee John E. Littel
 - 1. **Resolution 1:** Richard Bland College Faculty Handbook *tab #1*
 - 2. **Resolution 2:** Modifications to the Policy Manual with Regard to Administrative and Professional Employees *tab #2*
 - B. Committee on Audit and Compliance John Charles Thomas
 - C. Committee on Administration, Buildings and Grounds Ann Green Baise
 - 1. **Resolution 18:** Resolution to Approve Demolition of Millington Hall *tab #18*
 - 2. **Resolution 19:** Resolution to Approve Demolition of Lodges *tab #19*
 - 3. **Resolution 20:** Resolution to Approve Non-General Fund Capital Projects *tab #20*
 - D. Committee on Athletics H. Thomas Watkins III
 - E. Committee on Financial Affairs Kendrick F. Ashton, Jr.
 - 1. **Resolution 21:** Cash Management Investment Policy *tab #21*
 - 2. **Resolution 22:** Corporate Resolution to Transact Business and Confirm Authorized Business Agents for the College of William and Mary *tab #22*

Board of Visitors
MEETING AGENDA
February 5, 2016

F. Committee on Academic Affairs

Robert S. Scott

1. **Resolution 3:** Appointments to Fill a Vacancy in the Instructional Faculty *tab #3*
2. **Resolution 4:** Faculty Promotions *tab #4*
3. **Resolution 5:** Award of Academic Tenure *tab #5*
4. **Resolution 6:** Designated Professorships *tab #6*
5. **Resolution 7:** Term Distinguished Professorships *tab #7*
6. **Resolution 8:** Faculty Leaves of Absence *tab #8*
7. **Resolution 9:** Retirement of Sharon Hall deFur School of Education *tab #9*
8. **Resolution 10:** Retirement of George D. Greenia Department of Modern Languages and Literatures *tab #10*
9. **Resolution 11:** Retirement of Barbara J. King Department of Anthropology *tab #11*
10. **Resolution 12:** Retirement of Juanita Jo Matkins School of Education *tab #12*
11. **Resolution 13:** Retirement of Terry L. Meyers Department of English *tab #13*
12. **Resolution 14:** Retirement of Richard H. Palmer Department of Theatre, Speech and Dance *tab #14*
13. **Resolution 15:** Retirement of Charles Perdrisat Department of Physics *tab #15*
14. **Resolution 16:** Retirement of Gary W. Rice Department of Chemistry *tab #16*
15. **Resolution 17:** Retirement of W. Larry Ventis Department of Psychology *tab #17*

G. Executive Committee

Mr. Stottlemeyer

VI. Old Business

Mr. Stottlemeyer

VII. New Business

Mr. Stottlemeyer

VIII. Executive Session (if necessary)

Mr. Stottlemeyer

IX. Closing remarks

X. Adjournment

Mr. Stottlemeyer

BLOW HALL ROOM 201:

@12:30 p.m. Lunch

FULL BOARD MEETING

MINUTES – NOVEMBER 18-20, 2015

MINUTES

Meeting of the Board of Visitors
The College of William and Mary in Virginia

November 18-20, 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, November 18-20, 2015.

On Monday, November 16, the Richard Bland College Committee met in the James B. McNeer Science and Technology Building on the campus of Richard Bland College in Petersburg from 11:30 to 3:00 p.m.

On Wednesday, November 18, the Executive Committee met in the Rector's Office from 4:15 to 6:45 p.m. That evening the full Board convened for dinner in The Commons Dining Hall at 651 Ukrop Way.

Those present on Wednesday were:

Kendrick F. Ashton, Jr.
Ann Green Baise
Lynn M. Dillon
Thomas R. Frantz
Sue H. Gerdelman
John E. Littel
Christopher M. Little
William H. Payne II

Lisa E. Roday
Karen Kennedy Schultz
Robert E. Scott
DeRonda M. Short
Todd A. Stottlemeyer
John Charles Thomas
H. Thomas Watkins III

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, 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. Stottlemeyer 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 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.)

Board of Visitors
MINUTES
Page 2

There being no further business, the Board adjourned at 9:30 p.m.

On Thursday, November 19, the Committee on Audit and Compliance met in the Board Conference Room while the Committee on Academic Affairs and the Committee on University Advancement met in the Board Room.

Those present on Thursday were:

Kendrick F. Ashton, Jr.	Karen Kennedy Schultz
Ann Green Baise	Robert E. Scott
Lynn M. Dillon	DeRonda M. Short
Thomas R. Frantz	Todd A. Stottlemeyer
Sue H. Gerdelman	John Charles Thomas
John E. Littel	H. Thomas Watkins III
Christopher M. Little	Faculty representative: Suzanne Raitt
William H. Payne II	Student representative: Yohance Whitaker
Lisa E. Roday	

Absent: Keith S. Fimian
James A. Hixon

Others present:

W. Taylor Reveley	Kent B. Erdahl
Michael R. Halleran	Michael J. Fox
Virginia M. Ambler	W. Fanchon Glover
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

Also in attendance were University Counsel Deborah Love, Dean Kate Conley, Dean Carrie Cooper, Dean Dave Douglas, Dean Spencer Niles, Dean John Wells and other William and Mary staff.

The Committee on Audit and Compliance met from 8:00 to 9:30 a.m. The Committee on Academic Affairs met from 8:45 to 9:30 a.m. The Committee on University Advancement met from 9:30 to 10:00 a.m.

At 10:10 a.m. the Board convened as a committee of the whole for the **Committee on Strategic Initiatives and New Ventures**. Mr. Frantz presided as chair, briefly reviewed the agenda and introduced Vice President for Strategic Initiatives Henry Broaddus.

Mr. Broaddus reported on the development of a new communications piece designed to promote the College to in-state high school students and expressed his thanks to the Communications team for their work.

Mr. Broaddus provided an update on the university dashboard, detailed in Enclosure C, noting this was done in November and April, and a brief discussion ensued.

Mr. Broaddus then provided an update on regional activity, including the Virginia Summit on Higher Education and Economic Competitiveness, sponsored by the Virginia Business Higher Education Council and the Council on Virginia's Future, in partnership with the Virginia Chamber of Commerce and the State Council of Higher Education for Virginia, which was held on November 12. He noted the upcoming business roundtable meeting to be held at the Business School. Mr. Frantz commented on the agenda for the roundtable.

Mr. Frantz 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 10:38 a.m.

The Committee reconvened in open session at 10:43 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.) There being no further business, the Committee adjourned at 10:43 a.m.

Academic Affairs Committee Chair Robert Scott introduced Provost Michael Halleran and advised that he had asked the Provost to lead a discussion on how to support scholarly excellence in the faculty. The Provost described the various ways in which research/scholarship is fundamental to William and Mary's characteristics and ambitions. This led to a general discussion about various aspects of research at William and Mary and possible connections with other schools and State initiatives.

At 11:30 a.m. the Board convened as a committee of the whole for the **Committee on Student Affairs**. Ms. Roday presided as chair and briefly reviewed the agenda. She reported that both she and Vice Chair Will Payne had been spending time on campus meeting with student groups and they are working on a survey of club sports for the spring.

Ms. Roday then called on Vice President for Student Affairs Ginger Ambler, who introduced the presentation by Associate Dean of Students and Director of Parent and Family Programs Mark Sikes and Director of Parent and Family Giving Stacey Summerfield, who discussed ways in which they are working to increase parental engagement and philanthropy. A brief discussion ensued.

Student liaisons Ryan Goss and Yussre El-Bardicy reported on diversity at William and Mary from the student perspective. A brief discussion ensued. There being no further business, the Committee adjourned at 12:30 p.m.

The Committee on Administration, Buildings and Grounds met from 2:00 to 3:11 p.m. and the Committee on Athletics met from 3:17 to 3:54 p.m. in the Board Room.

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 Mr. Payne and approved by voice vote. The observers were asked to leave the room and the Board went into executive session at 4:00 p.m.

The Board reconvened in open session at 5:50 p.m. Mr. Stottlemeyer 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 made by Ms. Gerdelman, seconded by Ms. Dillon and approved by roll call vote conducted by Secretary of the Board Sue Gerdelman. (Certification **Resolution** is appended.)

There being no further business, the Board recessed at 5:50 p.m. to attend a reception in the Wightman Cup Room at William & Mary Hall and then attend the William & Mary Men's Basketball game against Washington Adventist.

On Friday, November 20, the Board reconvened 8:45 a.m.

The Committee on Financial Affairs met in the Board Room from 8:45 to 10:00 a.m.

Following a short break, the Rector convened the meeting of the full Board at 10:19 a.m.

Those present were:

Kendrick F. Ashton, Jr.
Ann Green Baise
Lynn M. Dillon
Thomas R. Frantz
Sue H. Gerdelman
John E. Littel
Christopher M. Little
William H. Payne II

Lisa E. Roday
Karen Kennedy Schultz
Robert E. Scott
Todd A. Stottlemeyer
H. Thomas Watkins III
Faculty representative: Suzanne Raitt
Student representative: Yohance D. Whitaker

Absent: Keith S. Fimian
James A. Hixon

DeRonda M. Short
John Charles Thomas

Others present:

W. Taylor Reveley
Michael R. Halleran
Virginia M. Ambler
Henry R. Broaddus
Edward C. Driscoll, Jr.
Samuel E. Jones
Matthew T. Lambert
Kiersten L. Boyce

Kent B. Erdahl
Michael J. Fox
W. Fanchon Glover
Jennifer B. Latour
Jeremy P. Martin
Brian W. Whitson
Sandra J. Wilms

Also in attendance were Staff Liaison Lyle Varnell, University Counsel Deborah Love, Associate University Counsel Sarah Melchior, Richard Bland College President Debbie Sydow, Dean Dave Douglas, Dean John Wells and other William and Mary staff.

Recognizing that a quorum was present, the Rector asked for a motion to adopt the minutes of the meeting of September 16-18, 2015. Motion was made by Mr. Watkins, seconded by Mr. Littel and approved by voice vote.

In his opening remarks, the Rector advised that staff liaison Claire Leatherwood had left the College in October for a position at Notre Dame, and welcomed new staff liaison Lyle Varnell. The Rector thanked the Board members for their participation during the committee meetings and thanked the members of the administration for their efforts.

President Taylor Reveley briefly commented on the upcoming end of the semester and the successful launching of the capital campaign at Homecoming.

Mr. Stottlemeyer moved that the Board of Visitors of the College of William and Mary convene in Closed Session for the purpose of discussing specific personnel matters; discussing internal investigations involving identifiable students and/or employees; discussing and/or approving personnel actions pertaining to the appointments, promotions and leaves of specific instructional and professional faculty, discussing the evaluation of the performance of departments or schools; discussing specific recommendations related to fundraising initiatives, priorities and strategies; and discussing reports or plans related to campus safety, as provided for in Section 2.2-3711.A.1., 2., 8., and 19., of the Code of Virginia. Motion was seconded by Mr. Payne and approved by voice vote. The observers were asked to leave the room and the Board went into closed session at 10:28 a.m.

The Board reconvened in open session at 10:35 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. Littel 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 and briefly reviewed the agenda, noting that the Committee had met on the Richard Bland Campus on Monday, visited classes and met with faculty members.

In her report, President Debbie Sydow expressed her appreciation to the members of the Richard Bland Committee for spending so much time on campus and thanked Ms. Dillon for participating in the ribbon cutting for the renovated Social Science, Humanities and English Building. The President advised that Lashrecse Aird would be serving as a member of the House of Delegates, representing the 63rd District. The Board offered congratulations to Delegate-elect Aird.

The President noted that the College has most assuredly been taken to a new level of excellence thanks to the efforts of many fine administrators and faculty leaders. There is positive momentum going into the new year at Richard Bland. She expressed her appreciation to individual Board members and to the Board as a whole for supporting the College over these past few years, and offered special thanks to John Littel, who is a full partner in the College's ongoing transformation.

Mr. Littel then moved adoption as a block **Resolution 1**, Adoption of Changes to Richard Bland College Policy Manual; **Resolution 2**, Modification to the Faculty Handbook with Regard to Specified Term Appointments; and **Resolution 12**, 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. Motion was seconded by Ms. Baise and approved by voice vote.

In the absence of Mr. Thomas, Mr. Little reported for the Committee on Audit and Compliance, and briefly reviewed the agenda.

Mr. Little moved adoption of **Resolution 3**, Approval of the Office of Internal Audit 2016 Work Plan. Motion was seconded by Ms. Dillon and approved by voice vote.

Ms. Baise reported for the Committee on Administration, Buildings and Grounds, and briefly reviewed the agenda.

Ms. Baise moved adoption of **Resolution 10**, Resolution to Approve Easement for New Transformer for Zable Stadium Underground Electric Facilities: Virginia Electric and Power Company. Motion was seconded by Ms. Schultz and approved by voice vote.

Mr. Watkins reported for the Committee on Athletics, and briefly reviewed the agenda. There were no action items.

Mr. Ashton reported for the Committee on Financial Affairs, and briefly reviewed the agenda.

Mr. Ashton moved adoption of **Resolution 11**, Continuation: William & Mary Promise. Motion was seconded by Mr. Littel and approved by voice vote.

Mr. Ashton then moved adoption of **Resolution 12**, 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; and **Resolution 13**, Receipt of the Financial Report of the Intercollegiate Athletic Department for the Fiscal Year Ended June 30, 2015. Motion was seconded by Mr. Littel 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 a Vacancy in the Executive Faculty; **Resolution 5**, Appointments to Fill a Vacancy in the Instructional Faculty; **Resolution 6**, Appointments to Fill Vacancies in the Professionals and Professional Faculty; **Resolution 7**, Designated Professorships; **Resolution 8**, Faculty Leave of Absence; and **Resolution 9**, Retirement of John M. Brubaker, School of Marine Science. Motion was seconded by Ms. Dillon and approved by voice vote.

Under Old Business, Mr. Stottlemeyer provided a brief update on revisions to the *Bylaws*, and thanked Bob Scott, John Littel, Deb Love and Michael Fox for their work. The Rector advised that the revised *Bylaws* had been mailed to the Board members for their review, and moved adoption of **Resolution 14**, Amendments to the Bylaws of the Board of Visitors. Motion was seconded by Mr. Watkins and approved by voice vote.

There was no new business.

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. Scott and approved by voice vote. The observers were asked to leave the room and the Board went into Executive Session at 10:57 a.m.

The Board reconvened in open session at 12:04 p.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 made by Mr. Watkins, seconded by Mr. Littel 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 12:04 p.m.

Board of Visitors

November 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: 15

NAYS: 0

ABSENT DURING CLOSED SESSION:


Todd A. Stottlemeyer
Rector of the College

November 19, 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;

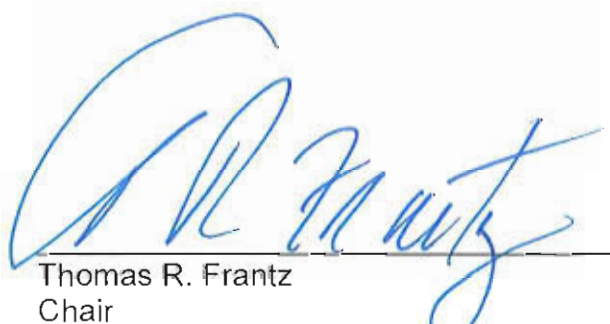
NOW, THEREFORE, BE IT RESOLVED, That the Committee on Strategic Initiatives and New Ventures, reconvening in open session, hereby certifies that, to the best of each member's knowledge, (i) only public business matters lawfully exempted from open meeting requirements by Virginia law were discussed in 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: 15

NAYS: 0

ABSENT DURING CLOSED SESSION:



Thomas R. Frantz
Chair
Committee on Strategic Initiatives and
New Ventures

Board of Visitors

November 19, 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

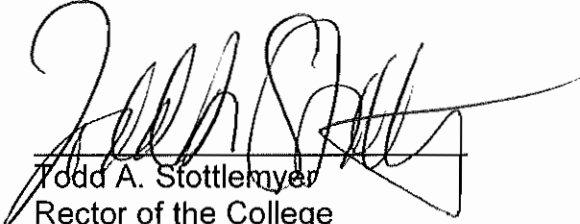
AYES:

15

NAYS:

0

ABSENT DURING CLOSED SESSION:



Todd A. Stottlemeyer
Rector of the College

Board of Visitors

November 20, 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;

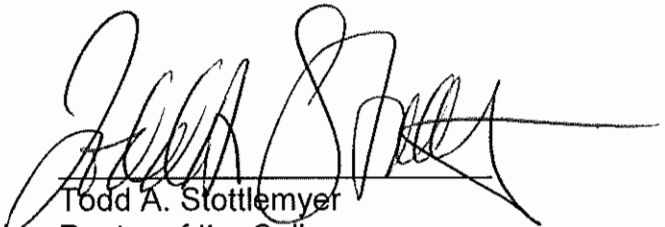
NOW, THEREFORE, BE IT RESOLVED, That the Board of Visitors, reconvening in open session, hereby certifies that, to the best of each member's knowledge, (i) only public business matters lawfully exempted from open meeting requirements by Virginia law were discussed in the closed session to which this 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: 13

NAYS: 0

ABSENT DURING CLOSED SESSION:



Todd A. Stottlemeyer
Rector of the College

Board of Visitors

November 20, 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;

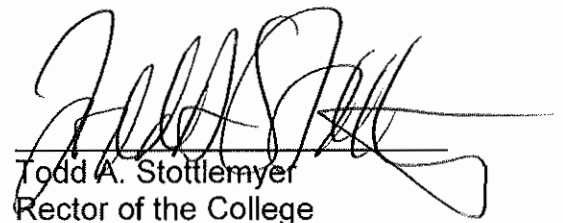
NOW, THEREFORE, BE IT RESOLVED, That the Board of Visitors, reconvening in open session, hereby certifies that, to the best of each member's knowledge, (i) only public business matters lawfully exempted from open meeting requirements by Virginia law were discussed in the closed session to which this 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: 13

NAYS: 0

ABSENT DURING CLOSED SESSION:



Todd A. Stottliemyer
Rector of the College

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

February 3-5, 2016
Board Room - Blow Memorial Hall

RICHARD BLAND COLLEGE

Resolution 1, <i>tab #1</i>	Richard Bland College Faculty Handbook
Resolution 2, <i>tab #2</i>	Modifications to the Policy Manual with Regard to Administrative and Professional Employees

COLLEGE OF WILLIAM AND MARY

Resolution 3, <i>tab #3</i>	Appointments to Fill Vacancies in the Instructional Faculty
Resolution 4, <i>tab #4</i>	Faculty Promotions
Resolution 5, <i>tab #5</i>	Award of Academic Tenure
Resolution 6, <i>tab #6</i>	Designated Professorships
Resolution 7, <i>tab #7</i>	Term Distinguished Professorships
Resolution 8, <i>tab #8</i>	Faculty Leaves of Absence
Resolution 9, <i>tab #9</i>	Retirement of Sharon Hall deFur School of Education
Resolution 10, <i>tab #10</i>	Retirement of George D. Greenia Department of Modern Languages and Literatures
Resolution 11, <i>tab #11</i>	Retirement of Barbara J. King Department of Anthropology
Resolution 12, <i>tab #12</i>	Retirement of Juanita Jo Matkins School of Education
Resolution 13, <i>tab #13</i>	Retirement of Terry L. Meyers Department of English

Board of Visitors
AGENDA ITEMS
February 3-5, 2016

Resolution 14, <i>tab #14</i>	Retirement of Richard H. Palmer Department of Theatre, Speech and Dance
Resolution 15, <i>tab #15</i>	Retirement of Charles Perdrisat Department of Physics
Resolution 16, <i>tab #16</i>	Retirement of Gary W. Rice Department of Chemistry
Resolution 17, <i>tab #17</i>	Retirement of W. Larry Ventis Department of Psychology
Resolution 18, <i>tab #18</i>	Resolution to Approve Demolition of Millington Hall
Resolution 19, <i>tab #19</i>	Resolution to Approve Demolition of Lodges
Resolution 20, <i>tab #20</i>	Resolution to Approve Non-General Fund Capital Projects
Resolution 21, <i>tab #21</i>	Cash Management Investment Policy
Resolution 22, <i>tab #22</i>	Corporate Resolution to Transact Business and Confirm Authorized Business Agents for the College of William and Mary

RICHARD BLAND COLLEGE
RESOLUTIONS

TABLED

RICHARD BLAND COLLEGE

RICHARD BLAND COLLEGE FACULTY HANDBOOK

WHEREAS, official operational and personnel policies and procedures must occasionally be revised to reflect changing conditions in higher education; and

WHEREAS, the Faculty Affairs Committee has reviewed and submitted recommendations to the Faculty Assembly regarding revisions to the Faculty Handbook; and

WHEREAS, the Faculty Assembly has reviewed these revisions and recommended approval to the Dean of Faculty; and

WHEREAS, the Dean of Faculty and President, in consultation with University Counsel, have reviewed the revisions to the Faculty Handbook;

THEREFORE, BE IT RESOLVED, That upon the recommendation of the President, the Board of Visitors of the College of William and Mary approves the revisions to the *Richard Bland College Faculty Handbook*, as detailed in the following pages, effective immediately.

BE IT FURTHER RESOLVED, That the policies contained in the Richard Bland College Faculty Handbook supersede and replace all previous Richard Bland College Faculty Handbooks, and to the extent there is a conflict between the policies in the Richard Bland College Faculty Handbook and other, non-superseded policies, the terms of the Richard Bland College Faculty Handbook control; and

BE IT FINALLY RESOLVED, That the Board of Visitors delegates to the President of Richard Bland College the authority to interpret the Richard Bland College Faculty Handbook.

RICHARD BLAND COLLEGE FACULTY HANDBOOK

I. FACULTY RESPONSIBILITIES

Faculty members are responsible for delivering educational content to achieve established student learning outcomes. Faculty are expected to regularly assess student learning outcomes against established goals and then adjust curricular content and instructional methodologies accordingly. In general, faculty members are responsible for supporting the mission and goals of Richard Bland College and its academic, administrative, and institutional policies. Position descriptions can be found on the College website. In addition to their responsibilities for teaching and scholarship as outlined in the position descriptions, faculty members are also responsible for participating in the shared governance system as outlined in section II below.

II. SHARED GOVERNANCE

At Richard Bland College, Shared Governance is a mutual commitment among the board of visitors, faculty and the president's administration—each in accordance with their respective goals and responsibilities—to work collaboratively to achieve the mission and strategic goals of the College in an environment of transparency, trust, and respect.

Engagement in institutional committees is a primary means through which faculty contribute to shared governance. It is the responsibility of faculty members to be concerned with the educational programs of the College and to make recommendations, through the committee structure outlined below, to the administration concerning these programs. The integrity of the educational programs of the College depend upon the due consideration of the proper committees (II.A.) and the Faculty Assembly (II.B.).

A. Institutional Committees

The following are the standing committees of Richard Bland College, including their membership, duties, and reporting line. Each committee receives reports on the status of their action items from the appropriate member of the President's Council to ensure clear lines of communication. Committees will receive charges at the beginning of each academic year from the appropriate President's Council member and will report their activities and progress regularly to that member, to the Faculty Assembly, to the campus community and to the President. Committees may also initiate new business, as appropriate, or take up other matters brought to their attention by academic area coordinators or other administrators. Unless otherwise specified, committee chairs will be appointed for a term of one year (not to exceed three consecutive years) at the first meeting of the academic year. Unless otherwise stated, *ex officio* members are non-voting.

1. Instructional Programs/Curriculum Committee

Membership: one faculty member elected from each academic area plus one elected at-large (total of five); one student appointed by Student Assembly; representatives from registrar, enrollment services and library *ex officio* (total of three *ex officio*); reports to Faculty Assembly through the Committee Chair.

Duties:

- a. Keep informed of degree requirements of area colleges and of national curriculum trends;
- b. Review, propose, and consider recommendations to modify, add to, or delete from degree requirements and curricula in support of College's Strategic Plan;
- c. Seek advice of academic disciplines before making recommendations to change policies or programs to be recommended to the Dean of Faculty for approval;
- d. Review and recommend modifications of, deletions from, or additions to policies, programs, and course descriptions to the Dean of Faculty.

2. Student Life and Engagement Committee

Membership: three faculty elected at-large; representatives from Residence Life, Athletics, Advising/ESE; co-chaired by Residence Director and Assistant Dean of Academic Success; reports to President's Council through the RD or Chief Student Life Officer.

Duties:

- a. Oversee Student Assembly, reviewing and advising regarding the disposition of local funds for student activities and a robust leadership development experience for all students leaders;
- b. Review and advise regarding plans and related budgets for student activities, clubs, and intramural programs;
- c. Monitor and assess progress relative to the goals of student organizations and student life activities, ensuring that programs and activities align with the College's strategic priorities;
- d. Devise ways to provide the bookstore, dining services, and other auxiliary services with broad-based student input that can be used to improve services to students.

3. Student Support and Success / ESE Committee

Membership: one faculty member from each academic area (total of four); representatives from finance, enrollment services; chaired by Dean of Enrollment Services; reports to President's Council through Dean of Enrollment Services.

Duties:

- a. Oversee the activities of the First Year Experience program;
- b. Review and advise concerning Advising and ESE/Learner Journey programming;
- c. Review and advise concerning the Student Success Center, including the Library, Counseling, and Tutoring.
- d. Ensure that academic support and success activities are in support of the College's Strategic Plan.

4. Faculty Affairs Committee

Membership: one faculty member elected from each academic area plus one elected at-large (total of five); representatives from finance, enrollment services, Director of Human Resources (total of three *ex officio*); reports to Faculty Assembly through the Committee Chair.

Duties:

- a. Study concerns of faculty with regard to faculty welfare in such areas as salary, fringe benefits, and working conditions;
- b. Propose various programs and policies for faculty development in such areas as in-service activities, continuing education, promotions, and tenure;
- c. Review, propose, and consider recommendations to the Dean of Faculty concerning modifications of, additions to, or deletions from the Faculty Handbook to support the College Strategic Plan;
- d. Advise concerning recruitment of faculty.

5. Academic Standards and Appeals Committee

Membership: one faculty member from each academic area plus representative from honors (total of five); representatives from registrar and athletics (total of two *ex officio*); reports to President's Council through Dean of Faculty.

Duties:

- a. Develop recommendations concerning admissions standards and policies consistent with the College's Strategic Plan, including honors program;
- b. Develop recommendations and review academic standards and policies conducive to quality education, including dual enrollment and online/distance;
- c. Review and determine academic status of students in cases not clearly delineated by established standards;
- d. Hear and decide, subject to further right of appeal, individual exceptions and/or appeals in areas such as admissions, academic status, adjustment of academic records, and waiver of degree requirements in exceptional cases;
- e. Designate representatives to serve on academic appeals team each semester;
- f. Review overall campus academic assessments.
- g. Conduct formal hearings of faculty grievances

6. Operations and Finance Committee

Membership: one faculty member from each academic area plus representatives from enrollment services, finance, and facilities; reports to President's Council through CFO.

Duties:

- a. Facilitate review of budget proposals in support of College's Strategic Plan;
- b. Review non-academic grant proposals;
- c. Inform the development of transparent College budget;
- d. Communicate results to stakeholders;
- e. Monitor relevant SACS standards.

B. Faculty Assembly

1. Purpose and Scope

The purpose of the Faculty Assembly is to advise the Dean of Faculty and the President on matters affecting the welfare of the College and to ensure effective faculty participation in the governance of the College as a whole.

- a. The Faculty Assembly will achieve this purpose by facilitating communication and collaboration between faculty and administration and promoting the welfare of students, faculty and the College in general. This includes but is not limited to studying issues and recommending policies to the administration and participating in the development of the educational, curricular, research and service components of the College.
- b. The Faculty Assembly shall have access to the agendas of the Board of Visitors that pertain to Richard Bland College, strategic planning for Richard Bland College, reports of all college-wide committees, and preliminary drafts of the College budget.

2. Membership

- a. The membership shall consist of the regular, or voting members, and the associate, or non-voting members.
- b. The regular members shall be all full-time Richard Bland College employees with academic faculty rank and one elected adjunct faculty member; the associate members shall be all other faculty.

3. Structure

- a. The College President, or her/his designee, shall preside at meetings of the Faculty Assembly. The agenda for Faculty Assembly meetings will be prepared by the Dean of Faculty.
- b. Ordinarily, the Faculty Assembly will meet monthly. Meetings are open to the entire College community. Adjunct faculty are encouraged to participate and to elect a representative to vote on their behalf.
- c. Minutes and Agendas will be the responsibility of the Dean of Faculty. As far as possible, agendas for meetings will be presented at least five business days in advance.

III. ACADEMIC ADMINISTRATION

A. Dean of Faculty

The Dean of Faculty manages all aspects of academic effectiveness and contributes to strategic, data-driven policy development and decision making to advance the College mission, vision, and strategic plan. The Dean of Faculty is responsible to:

- Manage the recruitment, ongoing professional development and evaluation/assessment of faculty and instructional staff to deliver high quality teaching/coaching in all modalities and to achieve consistently high levels of success in student learning outcomes

- Manage the portfolio of academic programs and ongoing program assessment to deliver relevant, high quality, market-driven academic programs in direct support of strategic enrollment management (SEM).
- Coordinate periodic academic program review and work with Academic Area Coordinators in the review, study, and development of curriculum and in the continuous improvement of instruction and student learning outcomes.
- Develop and implement academic-related internal policies, procedures and practices in alignment with College and SEM goals and objectives, and ensure compliance with internal, accreditation and all regulatory requirements
- Lead and advocate the development and utilization of technology and other pedagogical innovations to improve instructional and learning outcomes effectiveness
- Coordinate/collaborate across departments to meet student needs and promote student development, retention, learning outcomes and, in general, student success.

B. Academic Area Coordinator

Each Academic Area is an administrative unit composed of related academic disciplines established to facilitate the coordination of faculty efforts and to promote inter-disciplinary activities. Academic disciplines at Richard Bland College are grouped under four areas: Natural Science, Mathematics, Language & Humanities, and Social & Behavioral Sciences.

- Natural Science: Biology, Chemistry, Health, Physics.
- Mathematics: Mathematics, Computer Science.
- Language & Humanities: Composition, Foreign Languages, Geography, Government, Literature, Philosophy, Religion, Speech, Theatre.
- Social & Behavioral Sciences: Art, Business, Economics, History, Music, Psychology, Sociology.

The composition of Academic Areas will be periodically assessed and adjusted as needed in support of the College mission and RBC-19 goals.

On or before April 15 of each year, full-time faculty in designated academic areas recommend Academic Area Coordinators (who teach a reduced load as determined by the Dean of Faculty) to the Dean of Faculty for consideration. The Dean of Faculty submits a final recommendation to the President for approval. Coordinators are subject to annual review by the Dean of Faculty and President, and serve staggered three-year terms.

The Academic Area Coordinators, along with the Associate Dean(s) and the Dean of Faculty, will comprise the Academic Council. The Academic Council will meet regularly to ensure that the business of academic areas (curriculum, instruction, and assessment most importantly) moves forward and that communication remains open and transparent. Members of the Academic Council will also serve on the President's Council.

Current job descriptions for Academic Area Coordinators are available on the RBC website.

IV. ACADEMIC FREEDOM

Richard Bland College endorses the principles of academic freedom and subscribes to the Principles on Academic Freedom and Tenure, adopted jointly in 1940 and interpreted in 1970 by the Association of American Colleges and by the American Association of University Professors, the main points of which are: Faculty members are entitled to freedom in research and in the publication of the results, subject to the adequate performance of their other academic duties and compliance with College policies.

The College realizes that academic freedom is essential for acquiring and maintaining a strong faculty. A faculty member, while recognizing a special responsibility to the College as a contributing scholar, requires freedom of discussion in the classroom and freedom of professional research and publication of results. Dedicated to the free pursuit of truth, a faculty member should consider it a basic duty to encourage freedom of inquiry in peers and in students.

Faculty members are entitled to their political rights and should be free from institutional censorship or discipline for exercising them; but their special position in the community imposes special obligations. They should remember that they are members of a learned profession and officers of an educational institution. Hence, they should at all times be accurate, should exercise appropriate restraint, should show respect for the opinions of others, and should make every effort to indicate that they are not institutional spokespersons.

This protection of academic freedom applies to all faculty members and to all others who exercise teaching or research responsibilities while they are fulfilling their responsibilities as faculty members.

V. GUIDELINES FOR FULL-TIME FACULTY RECRUITMENT

A. Advertisements

Advertisements will be published or mailed to organizations, publications and institutions on the list in the Richard Bland College AA/EEO Faculty Recruitment Plan.

B. Applications

Applications postmarked through the published deadline will be processed according to criteria described in the advertisement and the AA/EEO Guidelines. The AA/EEO Officer will explain these guidelines at the first meeting of the Screening Committee.

C. Screening Committee

1. The Screening Committee (comprised of faculty and staff and including individuals in the field(s) of recruitment, when possible and applicable) is recommended by the Dean of Faculty and appointed by the President; it will review all applications for the position using the Faculty Recruitment Evaluation Sheet provided by the Dean of Faculty. The Screening Committee may use telephone/video conference calls with each semi-finalist as part of the screening process.

2. The Screening Committee will present a list to the Dean of Faculty of not fewer than three finalists and a recommendation regarding which candidates should be invited to the campus for an interview.

D. Interviews

The Dean of Faculty will review the Committee's recommendation with the President and, following a reference check, invite one or more candidates to the campus for an interview. The campus interview should include the following activities:

- meeting with the Dean of Faculty,
- meeting with faculty and staff,
- presentation to the College community
- meeting with the President,
- meeting with the Screening Committee,
- meeting with the Director of Human Resources to review benefits and financial policies,
- tour of campus and Petersburg area.

The credentials of candidates invited to campus will be available in the Office of the Dean of Faculty for review by all faculty and staff. Reactions of the faculty and staff should be provided to the Screening Committee.

E. Selection

1. If the Dean of Faculty concurs with the recommendation of the Screening Committee, it is forwarded to the President for review and decision.
2. If the Dean of Faculty does not concur with the recommendation of the Screening Committee, he or she will inform the Committee of the reasons and request consideration of other candidates. If the Screening Committee continues to support their initial recommendation, it may be forwarded to the President for consideration.

F. Hiring

1. The President will have the final authority on all appointments. A letter of intent to make an offer will be presented by the President to the candidate.
2. Expenses for the candidate only (not family) will be paid in accordance with State guidelines and not to exceed an established cap.
3. The Dean of Faculty will involve the appropriate Academic Area Coordinator in the selection of adjunct faculty, time permitting.

VI. FACULTY APPOINTMENTS

The teaching faculty whose original appointments are made by the Board of Visitors, are reviewed annually by the Dean of Faculty and the President. If a change of status results in a promotion in rank, Board approval is again required.

Full-time faculty appointments at the College are held under one of the following categories:

A. 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.

B. 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.

C. 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.

1. Initial Appointment – The first year of employment for specified-term teaching faculty.
2. 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 VII.A.
 - a. One-year Appointment – A one-year appointment shall be for one (1) year and may be renewed annually.
 - b. 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.
3. 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.
4. 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.
5. 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.

D. Adjunct appointments

Qualified individuals may be appointed to part-time, short-term (normally, one semester) contracts to provide instruction in specified courses. Adjunct faculty members do not qualify for benefits. Time served as an adjunct faculty member does not accrue toward tenure, and tenure cannot be awarded at this rank.

VII. FACULTY EVALUATION AND PROFESSIONAL ADVANCEMENT

A. Description

1. An evaluation of the performance of all faculty members will be conducted on a periodic basis, including an Annual Faculty Evaluation of all faculty members and an in-depth evaluation of tenure-eligible and specified-term faculty before the fourth week of their fourth semester at Richard Bland College, and tenured faculty at least every five years following immediately upon award of tenure. Tenure considerations occur in an individual's sixth year. The three criteria on which this evaluation will be based are teaching effectiveness, College service, and professional development and community service.
2. The primary responsibility for evaluation of the performance of faculty members rests with the Academic Area Coordinators and the Dean of Faculty. The Academic Area Coordinators will make the initial evaluation on the information provided by the faculty member, Student Course Evaluations, classroom observations, and other relevant information.
3. Each faculty member will see the Academic Area Coordinator's evaluation and have an opportunity to provide a written response. The Academic Area Coordinator's evaluation and the faculty member's response will be submitted to the Dean of Faculty for review. Each faculty member will see the Dean of Faculty's written comments and have an opportunity to respond in writing.

B. Annual Faculty Evaluation

All full-time faculty members must complete an annual Faculty Development Report (available at www.rbc.edu/faculty/forms). This report will detail evidence in support of the faculty member's teaching effectiveness, College service, and professional development and community service as follows:

1. Teaching Effectiveness

- a. A description of the nature and quality of the faculty member's teaching to include -- but not be limited to -- course load, updating of course presentations, innovative techniques, use of technology, helping students outside of class time, grading of papers, testing procedures, choice of textbooks, and any additional demonstrations of professional growth.
- b. A self-evaluation of student achievement of course objectives listed on the syllabus for each course.
- c. The Student Course Evaluation form administered in all courses.

2. College Service

- a. Advising

- b. Discipline and Division Responsibilities
- c. Committee Work
- d. College-wide Activities

3. Professional Development and Community Service

- a. Membership in Professional Organizations
- b. Attendance at Professional Meetings and Conferences (indicate program participation)
- c. Research and/or Publications
- d. Graduate Credits earned during this academic year
- e. Public Service – Civic and Social Services Activities, Memberships and Talks

Additional comments concerning professional development not already covered:

- f. Committee chairs will submit evaluations for faculty members on all standing committees, self-study committees, and major ad hoc committees to the faculty member in time to forward with the Report. Faculty members of other committees may request evaluations from the chairs.
- g. Faculty members may submit other information that they wish taken into consideration.

C. Procedures

1. The Academic Area Coordinators, using the Faculty Development Report and other available evidence, will write an evaluation of each faculty member. In the case of Academic Area Coordinators, the Dean of Faculty will write the evaluation. These evaluations should be narrative interpretations of the submitted information that will be helpful to the faculty members and other evaluators. The Academic Area Coordinators will rate the performance of each faculty member as follows:
 - a. Excellent
 - b. Above average
 - c. Average
 - d. Needs improvement
 - e. Needs considerable improvement
2. The criteria and weights for evaluation will generally be as follows, although in the course of a faculty member's professional growth the weights in College Service and Professional Development and Community Service may vary. (Adjustment in the twenty percent/ten percent will be initiated by the faculty member in consultation with the Academic Area Coordinators and the Dean of Faculty as the circumstance arises and before completion of the Annual Faculty Development Report):
 - a. Teaching effectiveness (70%) The evaluation will take into consideration evidence on the Faculty Development Report, Student Course Evaluations, classroom observations, and other available information.
 - b. College Service (20%) The evaluation will take into consideration evidence on the Faculty Development Report and committee chair evaluations.
 - c. Professional Development and Community Service (10%) The evaluation will take into consideration evidence on the Faculty Development Report.

3. The faculty member will be given a copy of the Academic Area Coordinator's evaluation and have an opportunity to provide a written response.
4. The Academic Area Coordinator's evaluation and the faculty member's response will be submitted to the Dean of Faculty for review. Each faculty member will be given a copy of the Dean's written comments and have an opportunity to respond in writing. Final decisions regarding salary increases will include a joint review by the Dean and the President.
5. If the Annual Faculty Evaluation identifies a pattern of deficient performance, the Dean will conduct a thorough assessment and consult with the President.

D. Procedures for Formative Review of Non-tenured Faculty

1. **Eligibility** - Non-tenured faculty (both tenure eligible and non-tenure track) will submit for evaluation a portfolio at the beginning of their third year of teaching at Richard Bland College. The purpose of the portfolio is to provide another means for the evaluation of teaching effectiveness, College service, and professional development and community service. The portfolio will cover the first two years and will be the basis both for considerations of tenure and for considerations of multi-year contracts and promotion.
2. **Submission of portfolio, which will include:**
 - A curriculum vita and a reflective essay addressing the faculty member's teaching philosophy and professional development
 - The first two faculty development reports
 - A sampling of instructor-provided materials used in each course taught during this interval, materials such as course syllabi, assignment lists, research paper assignments, reading lists, study guides, handouts, problem sets, laboratory exercises, tests, final examinations, descriptions of open education resources used, and any other course material useful to the evaluators
 - Grade distributions and Student Course Evaluations for these two years
 - A list of committee service and committee chair evaluations, a summary of activities pertaining to advising, discipline, division, and college-wide activities, and professional development and community service
 - Summary of Academic Assessment activity
3. **Evaluation -The portfolio will be evaluated by the Peer Review Committee:**
 - The Peer Review Committee will consist of senior members of each Academic Area selected by the Dean of Faculty, and will be chaired by one of the Area Coordinators selected by the Dean.
 - This committee will make all post-tenure, promotion (through the rank of associate professor) and multi-year contract recommendations.
 - The Committee will write an evaluation based on the above issues which will consist of an assessment of the issues listed above and suggestions for continuing professional growth. The evaluation will be forwarded to the appropriate area coordinator. The area coordinator will write an evaluation and forward all materials to the Dean of Faculty.

- The Dean of Faculty will write an in-depth review of the faculty member that emphasizes the anticipated long-term effect of the faculty member on Richard Bland College. The review will focus on teaching performance, productivity, and potential to excel. The review is intended to give the faculty member an indication of effectiveness and to make suggestions for continuing professional growth.
 - The Dean of Faculty will meet with the faculty member and set goals to be met for tenure, promotion, or the awarding of a multi-year contract.
- 4. Criteria for evaluations - The Peer Review Committee will address the following topics in its deliberations:**
- the faculty member's teaching load
 - the quality of the materials selected in each course, including open education resources
 - the development of each course, including use of assessment data for continuous improvement
 - the appropriateness of the intellectual tasks set by the instructor,
 - the quality of testing in each course, with an emphasis on student learning outcomes
 - the distribution of grades, if appropriate,
 - student course evaluations,
 - classroom observations (by peers, Academic Area Coordinators, and/or Dean of Faculty)
 - the quality of committee service,
 - the quality of discipline, division and College-wide activities, including advising,
 - the commitment to professional growth, and
 - the representation of Richard Bland College in the community.

VIII. ACADEMIC TENURE

Richard Bland College, a constituent college subject to the supervision, management and control of the Board of Visitors of The College of William and Mary in Virginia, accepts the principle of tenure, although under the laws of the Commonwealth it is not permitted to grant an appointment of unlimited duration. Tenure is defined by the 1940 Statement of Principles on Academic Freedom and Tenure with 1970 Interpretive Comments as “an appointment which may be terminated by the College only for adequate cause, or by retirement, or because of a bona fide reduction of staff or necessary curtailment or discontinuance of a department.” Adequate cause in faculty dismissal proceedings includes, but is not necessarily restricted to:

- demonstrated incompetence or dishonesty in teaching or research,
- substantial and manifest neglect of duty,
- personal conduct that substantially impairs the individual’s fulfillment of meeting responsibilities to the institution,
- bona fide financial exigency on the part of the College,
- discontinuance of a program or department of instruction, or
- when a discipline is not being discontinued, but student demand/enrollment does not justify retaining that number of faculty.

The burden of proof in establishing cause for dismissal rests upon the institution.

A. Tenure Eligibility

1. When a tenure-track faculty member joins the faculty of Richard Bland College, an initial, probationary appointment for a specified period begins, at the conclusion of which the appointment expires unless reappointment is offered; reappointment is also for a specified period and likewise expires unless renewed.
2. No faculty member has any rights, real or inferable, to appointment or reappointment during the probationary period.
3. A faculty member is evaluated for tenure in the fall of the sixth year of full-time employment. The Dean of the Faculty is responsible for notifying faculty members for whom a tenure review is required. Notification should be made during the spring semester preceding the review. At that time candidates should also be informed of the members of the Peer Review committee. In case a faculty member is not informed by the Dean, the member should contact the Dean concerning his eligibility.
4. In exceptional cases, early eligibility for the tenure review process may be granted by the Dean of Faculty.
5. Full-time, tenure-eligible service only, in any rank, from instructor to professor, or any combination of ranks, will count towards tenure. However, tenure will not be accorded those below the academic rank of Assistant Professor.
6. Faculty members on academic leave, with or without pay, may gain credit toward tenure or consideration for multiple-year appointments if such leave is approved by the Dean of Faculty.
7. Richard Bland College is administered under a July 1 - June 30 fiscal year. Faculty who serve a twelve-month appointment will be considered to have served a full year if they commenced duties by July 1, and faculty under academic-year appointment only if they serve the entire academic year. Fractional years of service may not be combined into one or more whole years in the computation of probationary years of service.
8. Full-time teaching/research experience at the rank of Instructor or above at any other accredited institution of higher learning will be credited towards the above tenure probationary period. The individual may be required, however, to serve a probationary period of as much as four years at Richard Bland College before tenure is granted, even if the total full-time service thereby seven years. The terms of such a probationary period will be stated at the time of initial appointment, both in the letter of offer and in the final written appointment letter.

B. Submission of Portfolio

The portfolio should include:

- the items listed above
- any other evidence bearing on the question that the candidates believe may be relevant and helpful to their case, and
- the formative review and reports. The portfolio for formative review may be submitted with revisions and updates.

C. Evaluation of Portfolio

The portfolio will be reviewed by the Peer Review Committee, which will write a review and forward recommendations to the Dean of Faculty.

D. Criteria for Evaluation

The Peer Review Committee will address the issues listed for Formative Review.

E. Permissible Reasons for Non-Renewal Non-Appointment

Permissible reasons for non-renewal of a probationary appointment or non-appointment to tenure include but are not limited to the following:

- unsatisfactory performance or lack of sufficient progress in meeting the institution's stated criteria for reappointment or award of tenure,
- qualification and performance which, although satisfactory, will not enable the institution to achieve or advance its educational objectives and standards,
- full staffing at tenure level in the areas of the candidate's principal competence or specialty,
- changes in the institution's academic program,
- budgetary constraints that make it impossible or imprudent to renew the appointment or to increase the tenure staff, and
- failure to complete educational requirements agreed upon in writing at time of hiring.

F. Conditions for the Granting of Tenure

Upon approval by the Board of Visitors, the College will give notification of tenure decisions not later than June 30 of the sixth year of full-time service.

G. Non-renewal Notice of Probationary Appointment

Written notice that a probationary appointment is not to be renewed will be given to the faculty member in advance of the expiration of appointment as follows:

1. Not later than March 1 of the first academic year of service, if the appointment expires at the end of that year; or if a one-year appointment terminates during an academic year, at least three months in advance of its termination.
2. Not later than December 15 of the second academic year of service, if the appointment expires at the end of that year.
3. At least twelve months before the expiration of an appointment after two or more years at the institution.

H. Special Considerations

Richard Bland College occupies a unique status in the Commonwealth of Virginia as the only selective, residential two-year college. Because its full-time faculty must serve in other capacities, including that of Academic Area Coordinators or Assistant/Associate Deans, they should not be caused to suffer any discrimination with regard to tenure by virtue of serving, additionally, in an administrative capacity. Such faculty performing full-time duties shall accrue credit toward tenure or multi-year appointment.

IX. PROMOTION IN RANK AND MULTI-YEAR APPOINTMENTS

Recommendations for promotion and multiple-year appointments at Richard Bland College shall be made to the Dean of Faculty by the Peer Review Committee. In all cases, the Dean, upon receipt of the Peer Review Committee's report, shall make recommendations regarding promotions and multiple year contracts to the President, whose decision is final, subject to the approval of the Board of Visitors. Though there will be consideration of promotion at the stated times in rank, promotion is not automatic upon completion of stated time in rank.

A. Guidelines for minimum requirements:

1. Instructor: A master's degree and a minimum of eighteen graduate hours in the area of instruction.
2. From Instructor to Assistant Professor: to be considered for promotion to Assistant Professor a faculty member must:
 - a. Complete two years as Instructor
 - b. Hold a Master's Degree in the field of appointment
 - c. Demonstrate performance at the college that reflects considerable promise of being a strong addition to the college in his or her Professional field
 - d. Complete a portfolio for review prior to promotion, as described above
3. From Assistant Professor to Associate Professor: to be considered for promotion to Associate Professor a faculty member must complete four years of teaching at the rank of Assistant Professor. The faculty member must also have at least six years of total college-level teaching.
4. From Associate Professor to Full Professor: to be considered for promotion to Full Professor, a faculty member must complete at least six years as Associate Professor, a minimum of twelve years of college teaching experience, and achievement of terminal degree in his or her field or sustained academic excellence in his field (significant scholarly publications). The M.F.A. can be considered as a terminal degree for faculty member whose field is theatre or studio art. The promotion, if awarded, is to take effect in the fall semester following the candidate's completion of the requirements stipulated herein and approval of the promotion committee, the administration, and the Board of Visitors.

B. Timetable for Review and Promotion

1. Last Monday in March:

The candidates and the committees are announced.
2. First Monday in April

The Dean of Faculty announces the Peer Review Committee for the following year.
3. Third Monday in September:

The candidate submits the portfolio to the Peer Review Committee. The Academic Area Coordinator submits a five-year review.
4. Third Monday in November:

The committee sends its report to the candidate. Before the Committee makes its report, at least one member of the Committee will visit an entire class meeting for each faculty member under review. If the Committee is not prepared to make a final report, additional information or documentation as necessary will be required of the candidate at this time. Before the Committee evaluation is submitted to the Academic Area Coordinator, either the faculty member or the Committee may request a meeting.

5. Third Monday in January:

The candidate submits additional information or documentation as requested to the Committee and to the Academic Area Coordinator.

6. Second Monday in February:

The committee evaluation goes to the Academic Area Coordinator.

7. Last Monday in February:

The Academic Area Coordinator makes his or her evaluation. If either the committee or the Academic Area Coordinator finds the faculty member's performance unsatisfactory, the portfolio, including evaluations, will be forwarded to the Dean of Faculty.

The faculty member will be given one week to add additional materials and a response to the committee evaluation and Academic Area Coordinator review.

8. Third Monday in March:

The Dean of Faculty makes his or her assessment.

Should the Dean of Faculty judge the faculty member's performance unsatisfactory, he or she will meet with the faculty member and form a plan of action specifying what areas need to be addressed and how performance in these areas will be judged.

9. Last Monday in March:

Next year's cycle begins.

10. First Monday in April:

The plan of action is submitted to the faculty member. The faculty member may appeal the plan and the requirements for satisfactory performance to the Faculty Affairs Committee within one week of the plan's being submitted. The Committee has two weeks to accept the Dean of Faculty's recommendations or to suggest revisions. If the Committee suggests revisions, the Dean of Faculty may accept the revisions, or send the original proposal and the suggested revisions to the President, who will make the final decision before contracts are issued.

X. SALARY INCREASES

Depending on the availability of funds, all faculty members at Richard Bland College are considered for annual salary increases. These increases will be based on merit. The Annual Faculty Evaluation serves as the basis for merit pay considerations.

XI. OUTSIDE COMPENSATED ACTIVITY

Faculty members are expected to avoid outside employment if it interferes with teaching effectiveness. Persons with full-time teaching appointments who are asked to teach part-time for other institutions or who wish to do consulting or other kinds of paid work must gain prior written permission, each semester, from the President or designee. The primary obligation of full-time faculty members and other employees is to the College. No other form of gainful employment should interfere with this commitment. Faculty members should be aware that provisions of the "State and Local Government Conflict of Interests Act" (VA. Code 2.1-639.1 et seq.) may apply to their outside employment or consulting contracts.

XII. EMERITUS RANK

Upon recommendation of the President, members of the faculty whose performance is deemed to be meritorious will be awarded the rank of Emeritus Professor after completion of ten years of full-time, continuous service and retirement under the statutes of the Commonwealth of Virginia. All professors in the ranks of Assistant, Associate and Full Professor who receive Emeritus status will be awarded their respective emeriti ranks upon retirement. Additionally, exceptional Academic Administrators who retire and meet these criteria will be considered for Emeriti status.

XIII. FACULTY WORK LOADS

All faculty are expected to meet all assigned classes, to maintain office hours properly posted and approved by the Dean of Faculty, to attend all academic processions and convocations, and to attend all meetings of committees to which such member may be elected or assigned.

A. Full-time Faculty

1. Faculty workloads will consist of a combination of teaching, committee membership, student advising, and office hours.
 - a. Faculty will teach twelve-fifteen (12-15) credit hours and fifteen-eighteen (15-18) contact hours per semester. Each lecture hour shall equate to one (1) credit hour and one (1) contact hour; each laboratory hour shall equate to one-half (1/2) credit hour and one (1) contact hour.
 - b. Faculty will serve on one or more college committees as follows:
 - (1) Institutional, faculty, or peer-review committees: One or two.
 - (2) Ad hoc committees: As requirements for ad hoc committees arise, faculty may volunteer or will be selected on a rotational basis from a list maintained by the Dean of Faculty.
 - (3) Volunteer committees: Faculty may serve on as many or as few volunteer committees as they choose. Service on these committees will count as college service. Faculty will not be required to serve on more than four (4) institutional, faculty, peer-review, or ad hoc committees during an academic year.
 - c. Student advising: Faculty will be assigned approximately 15 students as advisees.
 - d. Full-time faculty will schedule and post five (5) office hours per week. [See below.]
2. Other faculty activities. All full-time faculty are encouraged to engage in the life of the College beyond the required workload. College service, community service, active membership on

professional associations or societies, and scholarly research contribute toward the vitality of the College and should be included in an individual's annual Faculty Development Report.

3. Unusual and/or unforeseen circumstances may require adjustments to a faculty member's workload on a short-term basis. Faculty members will be consulted before decisions are made concerning adjustments in assignments. Should workload exceed full-time assignment as defined above, the College will reduce the instructional load and/or offer additional compensation as appropriate.

B. Faculty Office Hours

Faculty members are expected to schedule and be present in their offices a minimum of five (5) office hours a week for student consultation. In addition, faculty will schedule five (5) variable hours per week for individual, small group or online student consultation, and these hours may vary depending on student needs and schedules. Alternatively, faculty may perform two (2) hours of student advising (to be scheduled in coordination with the Assistant Dean of Academic Support) in the Student Success Center in lieu of the five (5) variable office hours.

At the beginning of the semester, each faculty member will provide the Dean of Faculty a schedule of teaching and office and variable or advising hours.

C. Faculty Absence From Class

Faculty unable to meet a class or classes (e.g., illness or car trouble) will notify the appropriate area coordinator, Dean of Faculty, make an effort to notify the students and submit a Faculty/Staff Absence Request/Report.

D. Laboratory Supervision

In all laboratory situations the faculty member is responsible for the direct supervision and instruction in the laboratory. Even though student assistants are used at times, no student will be expected to take charge of or direct the laboratory.

XIV. STATEMENT OF LEAVE POLICIES

A. Annual Leave

No annual leave is accumulated by such faculty members who are provided leave during the normal College holiday periods of Fall Break, Thanksgiving, Christmas, Spring Break, and summer breaks when the College is not in session.

B. Medical Leave

In case of a serious health condition that makes the faculty member unable to perform his/her responsibilities, a Request for Medical Leave should be made in writing to the Dean of Faculty. In cases of long-term illness or excessive absences claimed for medical reasons, the Dean of Faculty may require a doctor's statement to verify the need for medical leave. If medical leave necessitates a faculty member's absence from the classroom exceeding two weeks, the Dean of Faculty or his designee will provide for classroom coverage. Faculty with continuing need for medical leave

beyond an initial semester may request consideration for a leave of absence and will be compensated as provided for in his/her long-term disability policy.

C. Educational Leave

Educational Leave Policies for all personnel--classified, faculty, and administrators--are covered under "Educational Aid for State Employees" as authorized by the State Department of Personnel and Training. Additional information and policies concerning Educational Leave are found under Faculty Development.

D. Family Leave

See Policy Manual (B.6.).

XV. FACULTY DEVELOPMENT

Richard Bland College is committed to faculty development. The College provides resources and opportunities for professional development for the full- and part-time faculty. Academic Area Coordinators are responsible for coordinating faculty development activities. Areas supported by the College include, but are not limited to, the funding of applied research designed to improve student learning outcomes, presentations at professional meetings, on-campus workshops and seminars, study leave, educational leave, and release time for special projects.

A. Faculty Travel and Participation in Professional Meetings

1. Funding for faculty travel can come from academic area budgets, the Faculty Development Program budget, the Richard Bland College Foundation, funds from grants, or from a combination of these and other sources.
2. Faculty members are encouraged, within budgetary constraints, to attend professional meetings. If classes are in session during the time of the meeting, arrangements to cover classes must be made in advance with the Academic Area Coordinator, who will in turn notify the Dean of Faculty as to the disposition of classes during the period of absence using the Faculty Absence Report Form (www.rbc.edu/faculty/forms)
3. Faculty members are required to complete travel forms prior to departure. Travel regulations are discussed in below. Complete information regarding travel regulations may be found in the Office of Finance. Faculty should review these policies before making professional travel plans or arrangements.

B. Study Leave, Study Leave Without Pay, and Educational Leave

1. Study Leave entails taking coursework full time that meets a College curricular need and that leads toward either the doctorate or eighteen graduate hours in an area of instruction, or a second master's degree, if the College needs competence in the area. Educational Leave entails any professional-development endeavor within the faculty member's academic field.
2. For Fall semester or an entire academic year, the application for study leave must be submitted by the previous December 15; for Spring semester, by the previous June 15. Approval of the application for study leave is contingent upon acceptance by the graduate school.
3. A faculty member seeking Leave will compose a letter of application to the Dean of Faculty that includes:

- a. a copy of the letter of acceptance (which may be forthcoming) signed by the proper authority, from the graduate school;
 - b. an explanation of how the anticipated coursework meets the College's curricular needs;
 - c. the dates of the Leave;
 - d. an estimate of the costs of up to full salary and possible tuition assistance involved (books are disallowed); and
 - e. other supporting data.
4. The application for Leave is submitted for review to the Dean of Faculty who will forward a recommendation to the President.
5. All full-time faculty are eligible for Leave. Not more than three faculty members will be absent from the College during the same period of time. Not more than two faculty members will be recommended from each academic area during any given selection period. In the selection process, priority will be given to:
 - a. the College's curricular needs;
 - b. the applicant closest to completion of the degree;
 - c. the applicant's contribution to the mission of the College.
6. Not later than sixty (60) days following completion of the Leave, the faculty member will file with the Dean of Faculty, with copies to the President and the appropriate Academic Area Coordinators, a written report. In the case of Study Leave, the report will include documentation from the graduate school attesting to the successful completion of the course of study. For Educational Leave, the report will include a description of how the Leave will contribute to the faculty member's teaching effectiveness.
7. Under the guidelines stated above, a full-time faculty member may apply for Study Leave Without Pay.
8. Under the same guidelines, a full-time faculty member may apply for Educational Leave, defined as a leave of absence to undertake a professional-development endeavor within the faculty member's academic field. Partial salary support is possible. A full-time faculty member is eligible to be considered for Educational Leave every seven years.
9. Full-time faculty considering Leaves are advised to refer to Academic Promotion and Rank Policies

C. Institutional Memberships

Institutional membership in national, regional, state, and local associations or organizations has the potential of benefiting all groups within the Richard Bland College community. Open channels of communication can provide information exchanges, as well as personal and professional development. There are instances when membership in an association or organization is required for certification or accreditation. It is for these reasons that Richard Bland College supports institutional participation in such associations.

To assist members of the College community in their consideration of Richard Bland College's participation in such organizations, the following as guidelines will be used in determining such participation:

1. An institutional membership shall be defined as a membership held by the institution in a professional, technical, occupational, or related organization or association.
2. The membership is held by the institution or an organizational sub-unit and not by an individual.

3. The payments for institutional memberships shall be limited to those professional, technical, occupational, or related organizations and associations that provide publications and/or services of direct benefit to Richard Bland College.
4. Even when the aforementioned criteria can be justified, the cost of membership shall be carefully weighed against other important institutional obligations and budgetary considerations.
5. Academic Area Coordinators will be responsible for recommending to the Dean of Faculty those organizational memberships they deem desirable and affordable for sub-units within their divisions. Based on budgetary considerations and institutional priorities, the Dean of Faculty will recommend approval or denial for application for membership.
6. The final decision for approving or disapproving institutional memberships rests with the President or designated representative.

D. Other Categories of Faculty Development

Many additional opportunities exist for supporting the professional development of faculty members. They include, but are not limited to:

1. release time and/or reorganized teaching schedule to take individual graduate courses;
2. release time and/or reorganized teaching schedule to pursue research and writing, including faculty who are completing graduate degrees;
3. release time to plan a new course or significantly revise an existing course;
4. release time to coordinate on-campus meetings of professional organizations;
5. release time to develop grant proposals or work on other special projects; and
6. purchase of hardware, software, or other educational supplies that discipline budgets cannot fund.

E. Applying for and Receiving Faculty Development Funding

1. For funding requests involving travel, see Travel Authorization and Reimbursement policy
2. For funding requests not involving travel, faculty should submit a written request for funding that explains why the request is being made and estimated costs. The initial request need not exceed a single page, although faculty may submit as much documentation as they wish. Should the Dean need additional information, he or she may request that this be provided before approving the funds. Within sixty (60) days of completion of the activity not involving travel, the faculty member should submit to the Academic Area Coordinator and the Dean a report describing the results of the supported activity.

XVI. ACADEMIC FACULTY MISCONDUCT

Integrity in teaching and research requires that the Faculty body pay careful attention to and resolve in an equitable manner allegations of misconduct of faculty members.

Because of variations in such factors as the kind of misconduct alleged, the seriousness of the allegations, the nature of the dispute over the facts, and the interests and involvement of other private or public institutions and agencies, the course of action that will enable the Faculty to fulfill this responsibility in the best possible manner is likely to vary from case to case.

Accordingly, the procedures set forth below permit flexibility and are designed to provide a framework that is intended to enable equitable resolution of allegations of misconduct in a wide variety of circumstances. When applying these procedures to a specific case, persons acting on behalf

of the Faculty body and others involved in the proceedings should keep in mind the following concerns:

- The importance of the Faculty's maintaining standards consistent with the highest traditions of teaching, research and with the lawful obligations of the Faculty.
- The responsibility of the Faculty to the public and to the private and public institutions and agencies with which the Faculty is affiliated or has contractual or other arrangements.
- The necessity of the Faculty's protecting the rights and reputations of all individuals, including the person who is alleged to have engaged in misconduct and the person who has made the allegation.
- The necessity of the Faculty's resolving allegations with care and objectivity, with ample opportunity for all interested parties to be heard, and as promptly as the circumstances permit.

A. Definitions

Misconduct means actions inconsistent with the Code of Ethics, College policy, applicable Federal and State law or policy, or research or other academic standards. The standard for determining whether misconduct has occurred is whether the facts provide clear and convincing evidence that a violation has occurred.

B. Procedures

1. The Dean of Faculty shall have principal responsibility for receiving and assessing a proper response to allegations of misconduct concerning faculty members. An allegation will ordinarily be made by a written statement describing the misconduct in sufficient detail to form the basis of an inquiry. To enable the Dean to meet this responsibility, all allegations of misconduct, whether initially received by an Academic Area Coordinator or other person, shall be promptly brought to the attention of the Dean (and where appropriate, the President) unless it appears that the allegation, if proven, would not rise to the level of misconduct.
2. Upon receipt of an allegation of misconduct, the Dean shall determine, after such consultation with other Offices, e.g., Human Resources, as may seem appropriate, whether the conduct described in the allegation is governed by another College policy whose procedure provides for the investigation (if appropriate) and resolution of such allegations. If another College policy or procedure is applicable, the matter will be referred to the appropriate office or individual. The Dean will inform the reporting party where the matter has been referred. When primary responsibility for resolving the allegation rests with another Office, such Office should notify the Dean of the outcome.
3. If the conduct described in the allegation, if true, rises to the level of misconduct, and no applicable College policy directs that the allegation be handled under a different procedure, the Dean shall determine whether, taking into account the nature of the allegation, it is appropriate to attempt to resolve the matter through informal processes and discussions, and shall direct the appropriate Academic Area Coordinator to undertake such efforts. Final resolution through informal means shall require the approval of the Dean.
4. If the matter is not resolved under paragraph 3, and if in the view of the Dean further proceedings are required, the Dean shall direct the appropriate Academic Area Coordinator to prepare a

statement of the allegations, identifying the applicable policy or policies the violation of which would constitute misconduct. The Dean shall provide the statement to the faculty member accused of misconduct, who shall have 10 calendar days to respond in writing to the Dean.

- a. If the accused faculty member does not dispute the facts alleged, the matter will be submitted to the Faculty Affairs Committee. The Committee shall consider the statement of allegations and the accused faculty member's response. The Committee may also seek input from the person whose report gave rise to the allegation. The Committee shall prepare a report to the Dean. In some instances, the Committee may recommend that, despite the lack of a dispute over the allegations, investigation should nonetheless occur; for example, the Committee might believe there is a lack of candor in the faculty member's response.
 - b. If there is a dispute over facts or for other good cause, the Dean, after consultation with the Chairperson of the Faculty Affairs Committee, may establish one or more panels of inquiry to investigate the allegations and submit the result of its inquiry to the Committee. In deciding upon the size and composition of the Panel, the Dean of Faculty, to help ensure competence and objectivity, shall take into account such factors as:
 - (1) the subject matter of the inquiry, including the desirability of the panel's possessing competence in a specialized area or investigative skills,
 - (2) the desirability of including on the panel persons associated with individuals who are not members of the Faculty or not associated with the College, and
 - (3) the importance of selecting people who have had no prior involvement in the subject matter of the inquiry.
5. The investigation panel shall communicate with the person whose report gave rise to the allegations, the faculty member who has been accused of misconduct, and such other individuals who, in the judgment of the investigation panel, may have information bearing on the allegations. The investigation panel shall develop a report describing the manner and scope of the investigation, and the panel's assessment of the facts relevant to the allegations. The panel should attempt to reach consensus, but the report should identify those points where consensus is not reached. The panel shall forward its report to the Chair of the Faculty Affairs Committee.
 6. The Chair of the Faculty Affairs Committee will distribute the report to members of the Committee, and to the faculty member accused of misconduct. The accused faculty member shall be given 10 calendar days in which to provide a written response to the investigation panel report. Upon receipt of the response, the Committee shall consider whether further investigation, deliberations and proceedings are appropriate or necessary. Upon the completion of such additional proceedings, the Committee shall submit its report the Dean; the Committee shall also submit a copy of the investigation panel's report and the accused faculty member's written response. The Committee will submit conclusions and, ordinarily, comments on gravity of offense, possible sanctions, and recommended steps to prevent future misconduct. The Committee shall endeavor to reach consensus on this matters, but will note in its report where consensus has not been reached.
 7. The Office of the Dean will provide a copy of the Committee's report to the accused faculty member, who shall be given 10 days in which to provide the Dean with a written response. The

Dean shall, in consultation with the President, decide the matter and take such actions as may be appropriate. Sanctions may range, for example, from a letter of censure, to probation and monitoring, to termination of appointment. In determining the appropriate sanction, the Dean shall consider: (1) the nature of the violation(s); (2) the degree to which the faculty member's conduct departs from the standard set by the policy, etc.; (3) the impact of the violation(s); and any aggravating or mitigating factors. If the decision of the Dean departs significantly from the recommendation of the Faculty Affairs Committee, the Dean shall provide in writing the reasons for such departure, and shall provide such explanation to the accused faculty member and to the Chair of the Faculty Affairs Committee.

8. The decision of the Dean, if it is consistent with the recommendation of the Faculty Affairs Committee, shall be final. If the decision of the Dean departs significantly from the recommendation of the Committee, the accused faculty member has 10 calendar days in which to appeal in writing to the President; this appeal lies whether or not the Dean has determined his or her action to depart significantly from the recommendation of the Faculty Affairs Committee. Upon receiving such appeal:

- a. If the President determines that the decision of the Dean does not depart significantly from the recommendation of the Faculty Affairs Committee, the President shall affirm the decision, which shall be final.
- b. If the President determines that the decision of the Dean departs significantly from the recommendation of the Faculty Affairs Committee, and that the reasons given by the Dean for the decision are sound, the President shall affirm the decision, which shall be final.
- c. If the President determines that the decision of the Dean of Faculty departs significantly from the recommendation of the Faculty Affairs Committee, and the reasons (if any) given by the Dean do not support the decision, the President shall remand the decision for reconsideration by the Dean, and shall provide the Dean with appropriate guidance. Any such remanded decision shall, after reconsideration by the Dean, be returned to the President for review. Upon the President's approval of the reconsideration by the Dean, the decision shall be final.

9. The Dean of Faculty, in carrying out his or her responsibilities under these procedures, shall bear in mind the concerns of the Faculty, in particular:

- the importance of care, fairness and objectivity, and of the appearance of these attributes,
- the necessity of informing at the appropriate time other faculty and College officers, including the Chairperson of the Faculty Affairs Committee, the Academic Area Coordinator involved, and General Counsel, of the existence of allegations, and of consulting with these and other officers as resolution of allegations progresses,
- the importance of protecting the reputations of individuals and to that end ordinarily maintaining confidentiality to the extent practicable and to the extent consistent with other obligations of the Faculty during the course of and at the conclusion of proceedings,
- the need to protect the rights of the person alleged to have engaged in misconduct, including the right to be informed with specificity at the appropriate time of the allegations and the evidence in support of the allegations, and the need to discuss with that person the procedures to be followed,

- the need to protect the rights of individuals who, in good faith, make allegations,
- the need to make certain that the President is informed when allegations may constitute grave misconduct and that resolution of the matter proceeds with this fact in mind.

The Office of the Dean and the Faculty Affairs Committee shall maintain records of any proceedings in which they are involved in accordance with the applicable State Records Retention schedule.

XVII. FACULTY GRIEVANCE POLICY AND PROCEDURE

A. Definitions

A grievance is a complaint made by a member of the faculty concerning a decision, action, or lack of action by a person or group of persons acting in an official capacity, which directly and adversely affects the professional or personal well-being of the grievant and which can be corrected by the College. A grievant is a member of the faculty who has made a complaint that constitutes a grievance.

B. Coverage

Any full-time or part-time member of the College teaching faculty is covered under this grievance policy.

C. Non-grievable Actions

Any grievances that satisfy the definition in XXI.1 but are dealt with by their own specific policies and procedures, including an appeal process, as outlined elsewhere in the Handbook, are considered non-grievable actions. Therefore, excluded matters include the following:

- non-reappointment of non-tenured faculty
- decisions regarding the awarding or withholding of tenure
- actions of dismissal of faculty for cause or financial exigency
- actions awarding or withholding promotions
- any action related to evaluation of performance or salary adjustment
- disciplinary action taken as a consequence of a determination of racial, sexual, or other forms of discriminatory actions
- violations of college policy by individual faculty members

D. Pre-Faculty Appeals and Grievance Committee Procedure

The faculty member should first make every effort to resolve the potential grievance directly with the individual(s) involved.

E. First Filing of the Grievance

1. All grievances shall be presented as soon as possible and in no event later than ten (10) days after the occurrence of the action or event causing the grievance.
2. A faculty member with a grievance against another faculty member within his or her department shall present the grievance to the Academic Area Coordinator.

3. A faculty member with a grievance against another faculty member not in his or her department, with a grievance against his or her department chair, or with a policy or practice of the department shall present the grievance to the Dean of Faculty.
4. A faculty member with a grievance against the Dean of Faculty or another administrator shall present the grievance to the President.
5. A faculty member with a grievance against a college policy or procedure or the application thereof shall present the grievance to the President.

F. Attempt at Informal Resolution

The individual receiving the grievance shall seek to mediate a prompt and satisfactory solution of the grievance. If an allegation of discrimination or harassment is involved, the matter will be immediately referred to the AA/EEO Officer. Within ten (10) business days of receiving the grievance, the individual receiving it will schedule a first meeting with the grievant to initiate a process of informal resolution. This meeting is required. Within fifteen (15) business days from the date of that initial meeting, the grievance will either be resolved or the person receiving the grievance will determine that it cannot be resolved through informal means. In the event that informal resolution fails, the person receiving the grievance advises the grievant regarding the next step in the process (XVI.6)

G. Formal Procedures to Hear the Grievance

If the grievance of a faculty member is not resolved through the informal procedure, the faculty member may, within ten (10) business days thereafter, pursue a formal grievance procedure and request a hearing by the Academic Standards and Appeals Committee, a standing committee of the faculty whose charge is to investigate the grievance and recommend to the Dean of Faculty (or President as per XVII.E.5) a resolution.

H. Formal Request to the Academic Standards and Appeals Committee

A faculty member requesting a hearing by the Academic Standards and Appeals Committee shall present a written **statement of charges** to the Dean of Faculty; if the grievance is against the Dean of Faculty or a College policy, decision, action, then the statement of charges shall be presented to the President.

I. Statement of Charges, Preparation and Distribution

The written statement of charges submitted by the faculty member shall contain the following information and material in a form whereby multiple, legible copies may be reproduced:

1. A clear statement of facts upon which the grievance is based, including an explanation of how the faculty member alleges he or she has been adversely affected and the specific relief requested;
2. An identification of the person(s) or the College policy or procedure considered responsible for the alleged adverse condition, action, or inaction upon which the grievance is based and an explanation of why the person(s) is considered responsible or why the College policy or procedure is considered improper;

3. A copy of any pertinent Board of Visitors or College policies or regulations, Commonwealth statutes, contractual agreements or other documents of custom and practice upon which the grievant relies; and
4. A written statement prepared by each witness that the grievant would expect to call for the hearing in support of the grievance that summarizes the information or evidence that the witness would testify to at a hearing. The grievant shall also identify any witnesses believed to have relevant information who have refused to prepare a written statement or to testify at a hearing and the nature of the relevant information at issue.

J. Composition of the Academic Standards and Appeals Committee (ASAC)

The formal hearing shall be conducted by the ASAC, a standing committee of the Faculty Assembly.

1. Prior to the Dean turning the formal statement of charges over to the ASAC, both the accused faculty member and the grievant will have one opportunity to challenge the membership of the ASAC that will hear the grievance. This is the only time at which committee membership may be challenged. At this time (prior to the Dean of Faculty disseminating the statement of charges), the recusal of any member(s) of the Committee should also be determined.
2. Should the existing chair of the Committee be removed through challenge or recusal, the remaining members shall elect a new chair for the purposes of the formal hearing.

K. Procedure of the formal Committee Hearing and Distribution of Results

The chair of ASAC shall prepare and distribute a complete copy of the statement of charges to each member of the committee and to the Dean of Faculty (or President per XVII.E.5).

L. Confidentiality

It is expected that confidentiality will be maintained in the conduct of the formal committee deliberations. The mere suspicion of wrongdoing, even if totally unjustified, is potentially damaging. Information concerning any grievance proceedings must be held in strictest confidence and should be available only to those with a right or a need to know.

M. Preliminary Review and Decision

The ASAC shall, within ten (10) business days after receipt of the statement of charges, review the charges and determine whether or not the Committee will request a reply to the statement of charges. If the Committee determines by a majority vote that the charges (a) do not constitute a grievance, (b) are frivolous and/or without merit, (c) do not involve actions taken by a person in an official capacity, or (d) cannot be addressed by an official College policy or procedural remedy, then the chair of the Committee shall advise the grievant in writing of this finding with a copy provided to the Dean of Faculty (or the President as per XVII.E.5). The action of the Committee at this stage is final.

N. Request for a Reply to Statement of Charges

The ASAC requests a reply to the statement of charges for one of two reasons: (1) because additional information is required to decide if the matter is grievable, or (2) because the Committee determined

that the matter is grievable and a reply to the statement of charges is called for. If the ASAC requests a reply to the statement of charges, the chair shall advise the grievant and shall provide a complete copy of the statement of charges to each person against whom the complaint is made. If the grievance is against a departmental policy, decision, or action, rather than against the action of an individual, the department chair shall represent the department against which the grievance is made. If the grievance is against a College policy, decision, or action, rather than against the action of an individual, the appropriate Academic Area Coordinator, or the Dean of Faculty shall represent the relevant institutional unit against which the grievance is made.

O. Reply to Statement of Charges

Upon receipt of the statement of charges, the person(s) against whom or representing the unit against which the grievance is lodged shall, if he or she wishes to reply, have twenty (20) business days to present a response to the charges to the chair of the ASAC. The response must be in writing, and shall include:

1. A full statement of the position taken by the person(s)/institutional units against whom the grievance has been lodged with respect to the charge;
2. Any commentary the cited party(ies) may wish to offer concerning any of the documents contained in the statement of charges submitted by the grievant and any pertinent documents or materials which the respondent(s) relies upon; and
3. A written statement prepared by each witness that the respondent would expect to call for the hearing in response to the grievance that summarizes the information or evidence that the witness would testify to at a hearing. The respondent may also identify any witnesses believed to have relevant information who have refused to prepare a written statement or to testify at a hearing and the nature of the relevant information at issue.

Within five (5) business days after receipt of the response to the statement of charges from the party(ies) against whom the grievance has been lodged, the chair of the Committee shall have prepared and distributed to the grievant and to each member of the ASAC a complete copy of the response.

P. Review of Reply to Statement of Charges, and Decision

Within ten (10) business days of the distribution of the reply to the statement of charges, the Committee will either make a final decision or determine that a hearing should be held. Should all members of the ASAC, after reading the statement of charges and the response thereto, determine that there are sufficient grounds to recommend a remedy or a correction without conducting a full hearing, then the Committee shall by formal resolution offer its recommendation for the remedy or correction that should be taken to address the grievance. (The Committee may also recommend that no corrective action be taken.) The Committee's recommendation shall be promptly transmitted, in writing, to the parties concerned and to the Dean of Faculty (or President as per XXI.5), and the action shall be final. If the Committee determines that a hearing should be held, the chair of the ASAC shall schedule a hearing to begin no later than thirty (30) business days after the date that the Committee decided that a hearing should be held.

Q. Pre-Hearing Conference

At least ten (10) business day before the Hearing, the UFAGC will hold, with all parties present, a pre-hearing conference to define the issues involved and to resolve procedural matters for the Hearing. For instance, the Committee will inform both parties of their option to request the right to call witnesses for the Hearing. Such witnesses will be expected to submit written statements to the Committee as part of the request. The Committee may also choose to call witnesses based on its deliberations of the facts to this point.

R. Procedure for Final Hearing

The hearing shall be conducted according to the following procedures:

1. **Attendees** - The hearing shall be private, with only the parties involved, witnesses, counsel, advisers, designated observers, and members of the Committee present, except that, with mutual agreement by the grievant and the party(ies) against whom the grievance is lodged, the hearing may be public.
2. **Record of Hearing** - The full and complete Hearing shall be recorded by and for the Committee and all recordings shall be preserved until thirty business days following action by the Dean of Faculty (or the President as per XXI.5), or in the case of an appeal (see below) until final and conclusive action is taken, at which time the recordings shall be destroyed.
3. **Conduct of Hearing** - The Hearing shall be convened and conducted by the ASAC chair. Counsels, advisers, or other observers may not speak or participate; they are to silently observe the proceedings. The purpose of the Hearing is to allow the Committee to complete its work of determining a recommendation, given the charge(s) made, which may require further fact-finding through questioning of the parties or other witnesses. In principle, the facts will already have been presented in writing from both sides; the hearing provides the Committee the opportunity to clarify issues by asking questions of either or both parties and to hear from witnesses it feels the need to hear from. The Committee will afford both the grievant and the accused the opportunity to provide a brief, five-minute statement at the beginning of the Hearing, should either choose to do so, and it reserves the option of asking questions of them at that time. Either party may make a written request no less than five (5) business days in advance of the Hearing to call and interrogate witnesses, if either believes that such witnesses will bring new and important information to the Committee's attention. The reasons for the need of such witnesses must be provided in the written request, along with a statement from each witness. The Committee will rule on requests to call witnesses at least two (2) business days before the Hearing begins. The Committee will afford both the grievant and the accused the opportunity to provide a brief, five-minute statement at the conclusion of the Hearing, should either choose to do so, and it reserves the option of asking questions of them at that time.

S. Order of Hearing Activities

The general outline of a Hearing (with all possible steps included) would follow this procedure:

1. Convening of the Hearing by committee chair
2. Opening statement by grievant
3. Opening statement by respondent to the grievance

4. Questions by Committee to clarify issues raised in written materials, including witness statements, and points raised by the two opening statements
5. Witnesses called by the grievant (questions by the Committee and the respondent would follow the witness's initial responses to questions asked by the grievant)
6. Witnesses called by the respondent (questions by the Committee and the grievant would follow the witness's initial responses to questions asked by the respondent)
7. Witnesses called by the committee (questions by the grievant and the respondent would follow the witness's initial responses to questions asked by the Committee)
8. Closing statement by grievant
9. Closing statement by respondent to the grievance
10. Committee adjourns to deliberate and reach a decision

T. Decision

After all testimony has been presented, the chair of the ASAC shall recess the Hearing, and the Committee shall go into closed session to determine its findings and prepare its report and recommendations. If the grievance is against an individual faculty member and he/she is found by the committee to be responsible, recommended remedies and sanctions may include but are not limited to a letter of censure, probation and monitoring, to termination of appointment.

U. Distribution of Decision

Within ten (10) business days after the recess of the Hearing, the ASAC shall present its written report and recommendations, showing the vote of the Committee on the recommendations, to the Dean of Faculty (or the President as per XVII.E.5) and to all parties to the Hearing. The report shall provide a summary of the facts presented in the Hearing and the reasons for the recommendations of the Committee. Within ten (10) business days after receipt of the Committee's report and recommendations, the Dean of Faculty (or the President as per XVII.E.5) shall communicate, in writing, to the parties involved and to each member of the Committee, his or her acceptance or rejection, in whole or in part, of the ASAC recommendations.

V. Appeal to the President

Ordinarily the decision of the Dean of Faculty shall be final and conclusive. However, an affected party may present a request, in writing, to the President within ten (10) business days after receipt of the Dean of Faculty's decision, asking to review the record of the hearing. Within twenty (20) business days after receipt of a request from an affected party, the President will either affirm the decision of the Dean of Faculty or make additional or different determinations. The decision of the President is final.

XVIII. REVIEW OF ACADEMIC DISCIPLINES FOR THE PURPOSE OF POSSIBLE CURTAILMENT OR DISCONTINUANCE

A. Purpose

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. Input from faculty is vital during the program curtailment or discontinuance review process; however, ultimate authority over these decisions rests with the President and the Board of Visitors.

B. Guidelines

Guidelines for the Review of Academic Disciplines - Listed below are several broad areas that may be reviewed 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.

1. Mission

- a. What is the relationship of the discipline to the mission and strategic goals of Richard Bland College?

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 and productivity 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 Revenue

- 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. Comparable Disciplines and 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 by another institution or in another manner?
- c. Does the discipline have a demonstrable significant value to the area and population served by the College?
- d. Are there disciplines comparable to the one being considered for curtailment or closure offered by other institutions in Virginia?
- e. If such disciplines are offered by other institutions in Virginia, can they respond adequately to the needs of the College's service area residents?

7. 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?

8. 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 education
- c. al or fiscal alternative to discipline curtailment or closure that can be recommended?
- d. 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?

9. Procedures

The procedures detailed below will guide the review of academic disciplines for the purpose of possible curtailment or discontinuance:

- a. The Dean of Faculty shall charge the Instructional Programs/Curriculum Committee, as constituted to undertake the review of any discipline or disciplines that may fall under the purview of the provisions of this policy.
- b. The Instructional Programs/Curriculum Committee will apply the established guidelines (see above) in its review procedure, and its recommendations shall be communicated to the faculty and the Dean of Faculty.
- c. If a discipline is curtailed or discontinued because student demand/enrollment does not justify retaining that number of tenured faculty, the Dean of Faculty in consultation with the

Academic Area Coordinator in charge of the discipline shall recommend which faculty member or members should be transferred or terminated. They shall give strict consideration to such factors as academic credentials, teaching effectiveness, seniority, College and community service, and the provisions of the Equal Employment Policy available in the Office of the Dean of Faculty.

- d. A good faith effort will be made to transfer a tenured faculty member, insofar as his or her academic preparation and expertise allows, to another discipline or disciplines.
- e. In the event the tenured faculty member is deemed unqualified to fill another position at the College, he or she, at the discretion of the College, may be offered a special leave of absence of up to one half of salary (as prescribed under Faculty Development) for a period not to exceed one academic year. During that period of time the individual must be enrolled full-time in a course of study approved by the College. Upon successful completion of the College-approved course of study, the individual will be returned on a full-time basis to the institution.
- f. If the tenured faculty member is not offered a year's leave of absence or does not choose to accept it if offered by the College, a terminal appointment of one academic year will be offered to the individual.

XIX. ACADEMIC PROCEDURES AND GUIDELINES

This section is composed of administrative guidelines and directives related to the instructional process and the role of faculty at Richard Bland College.

A. General Academic Policies

General academic policies are in the Richard Bland College Policy Manual and Catalog.

B. Course Content

Richard Bland College respects the principles of academic freedom and the autonomy provided faculty in the selection of their instructional materials. However, it is the responsibility of the faculty to provide instruction that is current and consistent with the course descriptions listed in the Richard Bland College Catalog. The College is primarily a transfer institution. It is therefore the responsibility of the faculty to provide instruction consistent with the general expectations of academe.

C. Course Offerings And Schedule

In collaboration with the Dean of Enrollment Services, the Dean of Faculty will determine the final schedule, with input from Academic Area Coordinators. Courses and times of instruction will be based upon the needs of the students and the institution. Faculty are required to inform the Office of the Dean of Faculty of any change in location or time or postponement or cancellation of class, so that, if necessary, a student can be located.

D. Course Syllabi

A well-developed course syllabus that provides students with essential information about the course in which they are enrolled is required for each course offered by Richard Bland College. At the beginning of every semester, a syllabus for each course taught that semester is to be forwarded through the Academic Area Coordinators to the Office of the Dean of Faculty. For a course with

multiple sections taught by more than one faculty member, these faculty should coordinate major course expectations and requirements (Adjunct faculty should seek this information from the appropriate area coordinator). Specific information to be covered in course syllabi includes:

1. Richard Bland College Mission Statement;
2. relevant College curriculum goals and learning outcomes;
3. course prerequisites;
4. course objectives;
5. course textbooks, workbooks, supplementary texts and selected readings, and other resources;
6. office hours--minimum of five (5) scheduled hours, additional availability by appointment for advising;
7. college attendance policy;
8. treatment of late course requirements;
9. attendance at the final examination;
10. pertinent discussion in the syllabus and during the first week of class of the principles of the Richard Bland College Honor Code and the consequences of their violations. A Richard Bland College faculty member's obligation and responsibility regarding the Honor Code are not optional;
11. course requirements - nature and approximate number of course activities, projects, and examinations;
12. grading scale (e.g., 80-89% = B) and weighting of course requirements in relation to the semester grade, including percentage for class attendance and participation if so desired;
13. sufficient course work should be evaluated and returned to students before the semester's date by which to drop a course or to change from credit to audit status without academic penalty to indicate to the student his or her level of achievement.
14. dates important to the course, such as the semester's date by which to drop a course without academic penalty, dates of examinations, due dates for projects and papers, the final examination date;
15. disclaimer statement to the effect that changes can be made in the syllabus due to unforeseen circumstances. Whenever possible, faculty will contact students and the Dean of Faculty in advance of significant changes in the syllabus.

E. Class Rolls

Faculty must verify official class rolls (student name, course, section) by each semester's deadline so that total class count, grade sheets, and student directories are accurate and that, if necessary, a student can be located.

F. Final Examinations

1. Faculty should assure that all quizzes, tests, and final examinations are conducted according to the Honor Code.
2. Final examinations will be given for all scheduled academic classes. These examinations will be conducted at the established examination time. An exception is made for Lab classes – which may hold their exams during the last week of the semester – and online courses, which will conduct their exams according to the policies laid out in their syllabi.
3. Special requests regarding exceptions to these rules, such as take-home final exams must be discussed with and approved by the Dean of Faculty at the beginning of the semester in which the exam is scheduled to be given.

4. Final examinations will not normally involve take-home examinations. A special request to administer a take-home final examination must be discussed with the
5. Dean of Faculty significantly prior to the final examination period.
6. All faculty will retain a copy of each student's final examination for at least one year, in the event of a grade appeal or litigation.

G. Final Grades

Final grades should be turned in to the Office of the Registrar within forty-eight (48) hours of the examination. Final grades for Friday and Saturday classes must be received in the Office of the Registrar by 10:00 AM the following Monday.

H. Posting Grades

Official grades will be made available to students by the Office of the Registrar. Faculty electing to post grades may do so, but students may not be identified by name, social security number, student identification number, or in any other way that would conflict with the student's right to privacy.

I. Student Course Evaluations

All courses taught by Richard Bland College faculty will be evaluated each semester through Student Course Evaluations.

J. Drop/Withdrawal Policies

Students requesting to drop a course or withdraw from the College must complete the appropriate form (available in the Office of the Registrar), obtain the signature of the advisor, and a representative of the Office of Financial Aid. To avoid academic penalty, this procedure must be completed before the academic penalty/withdrawal date published in the Course Schedule for each semester. Unless a student officially drops a course or officially withdraws, a grade of "F" will appear on his or her permanent record. Students requesting to drop a course or withdraw from the College after the academic penalty deadline has passed should be referred to the Dean of Faculty.

Any exceptions to this rule must be for verifiable medical or legal circumstances and be approved by the Dean of Faculty.

K. Textbooks

1. **Purpose** - to establish procedures for ordering textbooks for the students and faculty of Richard Bland College. The policy should further serve as a reminder for the faculty to use care in selecting textbooks essential to the teaching of each class. The ever-accelerating cost of textbooks is a factor to be considered; however, texts should be selected on the basis on their quality rather than price.
 - a. Responsibilities and Related Guidelines—Textbook adoption recommendations are made by the members in the academic disciplines to the Academic Area Coordinators. The Academic Area Coordinators are responsible for seeing that book orders are sent to the Bookstore Manager by the specified dates.
 - b. The Bookstore is responsible for receiving and processing requests of textbooks to be used in courses offered at Richard Bland College.

- c. Professors needing complimentary or desk copies should request them from the publisher. Professors with duplicate copies of textbooks are urged to place extra copies on reserve in the library. Additionally, the faculty should fully utilize the comprehensive library resources available to the college community.
- d. All classes do not have to have a required textbook. They can have recommended titles, which means that the student has the option to purchase or not purchase the textbook.
- e. Each faculty member should carefully review the proposed textbook for each course taught well in advance of the semester intended for use. In evaluating such texts, faculty members are encouraged to consider comments from colleagues, students, and publishers as well as their own personal judgment regarding the desirability of the text.

2. Procedures

- a. To ensure timely delivery of textbooks, the bookstore must receive textbook orders for the summer session by April 1, for the fall semester by May 1, and for the spring semester by November 1. The reason for the early need of the book orders is the have an appropriate amount of time to acquire used books and to be able to offer a higher buyback amount to the students as early as possible.
- b. The Bookstore Manager will be responsible for overseeing any and all enrollment changes and to handle book orders accordingly.
- c. The Bookstore Manager will promptly notify the faculty member of any information received regarding delay in the shipment or the inability of a publisher to provide the textbook by a required date. The manager will assist in obtaining delayed books or substitute books by the most expedient means. Faculty members are to supply as much information as possible about each textbook, i.e. author, title, edition, publisher, paper or hardcover, etc. Faculty members should be aware that contracts with textbook publishers may be governed by provisions of the "State and Local government Conflict of Interests Act" (VA Code 2.1 – 639.1 et seq.) or may be exempt from that Act.
- d. When doubtful, the faculty member should inform the Dean of Faculty of the faculty members proposed contract with the textbook publisher so that legal advice may be obtained regarding the applicability of the Act.

L. 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 Academic Area where the course will be taught and a meeting will be held to discuss the proposal.
- 3. After the proposal has been discussed in the Academic Area, the faculty member will submit it to the Instructional Programs/Curriculum Committee.
- 4. The Instructional Programs/Curriculum 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/Curriculum Committee will approve or disapprove the proposed course and submit such recommendation to the Dean of Faculty.
- 6. The Dean of Faculty will recommend to the President either approval, with any appropriate modifications, or disapproval of the course.

M. Academic Processions

One academic procession is normally held each year – on Commencement Day. Faculty members will participate and wear appropriate academic regalia. If faculty members do not own caps, gowns, and hoods, they may rent them through the Bookstore. The President may schedule additional academic processions, as deemed necessary. Faculty participation is required. Any requests to be excused from an academic procession must be submitted in writing to the President for review and approval.

N. Policies and Procedures Affecting Consensual Amorous Relationships

1. The appearance of a compromising conflict of interest or of coercion, favoritism or bias in educational or academic evaluation is prejudicial to the interests of Richard Bland College, its members, and the public interest that it serves. Amorous relationships between faculty members and students are strictly prohibited. For purposes of this policy, “faculty” shall include all full-time or part-time College personnel who teach, and administrators with faculty status.
2. Members of the College community who believe themselves to be affected adversely by a violation of this policy may initiate a complaint with the appropriate Academic Area Coordinators. A complaint alleging that an Academic Area Coordinator or an administrator has violated this policy may be filed with the Dean of Faculty or other appropriate College Officer. Complaints should be filed within ten (10) calendar days of the time at which the complainant becomes aware of an alleged violation, but not more than one year after the alleged violation.
3. Failure of members of the College community to comply with the foregoing policy shall be handled in accordance with the provisions for allegations of misconduct described in the Faculty Handbook, including the procedural guarantees therein outlined. (See XVI.)

XX. IMPLEMENTATION

BOARD OF VISITORS AUTHORITY - Nothing in the Faculty Handbook is intended to limit the Board of Visitors as the final institutional authority for the College.

EFFECTIVE DATE - This Handbook shall become effective at the time of its approval by the Board of Visitors or, to the extent the Board’s approval is not required, at the time of its approval by the President.

REPEAL - This February 2016 Richard Bland College Faculty Handbook repeals and supersedes the previous Faculty Handbook and other pertinent documents.

**RICHARD BLAND COLLEGE
MODIFICATIONS TO THE POLICY MANUAL
WITH REGARD TO ADMINISTRATIVE AND PROFESSIONAL EMPLOYEES**

During the April 24, 2015, Board of Visitors meeting, the Richard Bland College Policy Manual was approved with the adoption of Resolution 1.

The following additional policies have been developed, intended to supplement the Policy Manual as approved:

- Policy B.7. Designation, Appointment and Termination of Administrative and Professional Employees
- Policy B.8. Recruitment and Hiring of Administrative and Professional Employees
- Policy B.9. Performance Evaluation of Administrative and Professional Employees
- Policy B.10. Grievance Procedure for Administrative and Professional Employees
- Policy B.11. Leave without Pay for Faculty, and for Administrative and Professional Employees

University Counsel has reviewed these additional policies and recommends their inclusion in the Policy Manual.

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 with regard to Administrative and Professional Employees 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 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 FINALLY RESOLVED, That the Board delegates to the President of Richard Bland College the authority to interpret, amend, supplement, and redact the Richard Bland College Policy Manual, and to further delegate this authority as appropriate.

Policy B.7.**Policy Name: Designation, Appointment and Termination of Administrative and Professional (AP) Employees****Responsibility for Maintenance: Director of Human Resources and Compliance****I. Policy Statement**

Administrative and Professional (AP) employee positions manage a division or subdivision of a major academic or administrative unit. Typically, AP positions: (1) require a high level of knowledge, discretion, independent judgment, and advanced education and/or prolonged, specialized experience; (2) are exempt employees under the provisions of the Fair Labor Standards Act (FLSA), and therefore not subject to the FLSA provisions governing the payment of overtime; and (3) report directly, or through one other person, to the President. Examples of such positions are: the heads of units such as student life, athletics, human resources and compliance, public safety and security, information technology, and property management. AP employees are appointed by the President as at-will employees or, in some instances, for a specified or otherwise restricted (as by funding source) term.

A. Designation

This policy applies to all newly-created or modified positions.

Pursuant to The Restructured Higher Education Financial and Administrative Operations Act, Chapter 4.10 of Title 23 of the Code of Virginia, the Board of Visitors of The College of William and Mary in Virginia is charged with establishing policies for the designation of administrative and professional faculty positions at the College. Such designations are to be reserved for "positions that require a high level of administrative independence, responsibility, and oversight within the organization or specialized expertise within a given field." This policy provides guidance for, and authorizes, the President to designate AP positions in accordance with procedures set forth herein.

B. Appointments

AP employees are generally employed through at-will appointments. Restricted or specified-term appointments may be used in certain circumstances outlined elsewhere in this policy. AP employees are subject to involuntary separation for budgetary or operational reasons, as set forth in this policy, and may also be terminated for cause, including unsatisfactory performance.

1. Probationary Status - The terms and conditions of employment require that AP employees serve a 12-month probation period, except for those hired for a specified-term who do not serve a probation period.

2. Restricted Appointments

Restricted appointments are positions that are funded through sponsored contracts or grants. Restricted appointments terminate upon the expiration of the supporting funding source. The position may be continued if an additional funding source, such as a subsequent grant, is available. No additional notice beyond the termination date of the sponsored program or grant is required for the employment to end.

3. Specified-term Appointments

Certain AP appointments may be hired for a specified period or project. Such employees may include those employed in the Athletics Department. These specified-term appointments do not renew automatically and terminate on the date specified with no notice or other action required, unless otherwise specified.

4. Reassignments

The President has complete discretion to reassign administrative duties and titles at any time. For example, an AP employee may be reassigned to work in a different department or office, or under a different supervisor. If the AP employee has a specified-term contract, the employee's salary will not be reduced as the result of a reassignment. If the employee does not have a specified-term contract, the employee's salary may be reduced only if the employee's salary is out of alignment with comparable positions within the unit or College. Any salary increase or decrease as the result of a reassignment must be reviewed by the Director of Human Resources and Compliance, and approved by the President.

C. Termination and Other Forms of Involuntary Separation and Reduction; Certain Amicable Separation Agreements

1. Abolition or Reduction of Position for Operational Reasons

An AP position may be eliminated or reduced (changed from full-time to part-time, made seasonal, etc.) if the College determines that the services being performed are no longer required or can be reduced. This determination may be made at the College's discretion for operational reasons.

A position may be abolished or reduced at any time provided that the affected AP employee is given written notice at least 90 days prior to the effective date. If the position is reduced in scope, the AP employee may decline to continue in the position. If the AP employee declines, it is still considered an involuntary separation eligible for severance. The notice will specify the severance benefits for which the AP employee is eligible. Unless otherwise negotiated, an employee is expected to perform his or her duties during the notice period.

If the AP position being abolished or reduced is one for which the incumbent has a specified-term appointment, the College and the employee may renegotiate the terms of the specified-term contract. In the absence of a renegotiated contract, the College will pay the AP employee severance in the amount of gross salary remaining under the specified-term appointment, subject to such withholding as may be required.

2. Termination or Reduction of Position for Budgetary Reasons

Inadequate funding or other fiscal constraints can result in termination or reduction of a position(s) by the College at its discretion. In implementing reduction and terminations necessitated by inadequate funding, the College will give due consideration to the effect of a position on the College's mission and the need for efficient use of available resources.

A position may be terminated or reduced at any time provided that the affected AP employee is given written notice at least 90 days prior to the effective date of the termination or reduction. The notice will specify the severance benefits for which the professional is eligible. Unless otherwise negotiated, an employee is expected to perform his or her duties during the notice period. If the position is reduced in scope for budgetary reasons, the AP employee may decline to continue in the position. If the AP employee declines, it is still an involuntary separation eligible for severance.

If the AP position being abolished or reduced is one for which the incumbent has a specified-term appointment, the College and the employee may renegotiate the terms of the specified-term contract. In the absence of a renegotiated contract, the College will pay the AP employee severance in the amount of gross salary remaining under the specified-term appointment, subject to such withholding as may be required.

3. Termination for Cause

An AP employee may be terminated for cause. Termination for cause is for serious, willful, or repeated misconduct, or deficiencies in performance such as:

- a. Unethical conduct or dishonesty, including falsification of credentials or records, and misappropriation or misuse of College funds or property;
- b. Serious, knowing, or repeated violation of policy or law;
- c. Malfeasance;
- d. Serious or repeated insubordination;
- e. Inappropriate behavior that adversely affects College operations;
- f. Convicted criminal conduct occurring: (i) on the job; or (ii) off the job, if plainly related to or affected job performance, detrimental to the College's reputation, or of such a nature that retention of the employee would be negligent in light of the College's duties to itself, the public, students, or other employees;

- g. Inability, unwillingness, or refusal to perform functions of the job, including job abandonment; and
- h. Unsatisfactory performance in accordance with the applicable College policy on performance planning and evaluation for professionals and professional faculty.
- i. An AP employee may be discharged for cause at any time. AP employees who are removed for cause are not eligible for severance benefits.

4. Negotiated Separations

The College, at its discretion and as an alternative to other methods of termination, may negotiate separation agreements with AP employees. Such agreements may be used where unsuccessful job matches, irresolvable conflicts or other circumstances lead the parties to agree that a negotiated end to the employment relationship is in the parties' best interest.

5. Access to Grievance Process

AP employees who have been terminated under section C of this policy have access to the College's grievance procedure for AP employees. The grievance procedure is not available to AP employees who agree to a negotiated separation.

6. Resignation

AP employees who resign must do so in writing, delivered to the President. Such notice should provide at least 30 days' notice before the effective date of the resignation.

II. Reason for Policy

The purpose of this policy is to describe the conditions and procedures for the designation, appointment and termination of AP employees.

III. Applicability of the Policy

This policy applies to the College's AP employees.

IV. Related Documents

Policy B.10: Grievance Procedure for AP Employees

V. Contacts

Policy Name	Office	Title	Telephone Number	Email
Designation, Appointment and Termination of Administrative and Professional (AP) Employees	Human Resources and Compliance	Director of Human Resources and Compliance	(804)862-6100 ext 6208	dbell@rbc.edu

VI. Definitions

[NONE]

VII. Procedures

A. Procedures for Designation of AP Personnel

The proponent for a new or modified AP position or modification shall develop: (1) a draft position description or modification; (2) justification for the new or changed position; and (3) a written explanation of the reasons the new or modified position appears to be an AP position. The proponent shall submit the documents through any supervisor, up to but not including the President, to the Director of Human Resources and Compliance. The Director of Human Resources and Compliance shall review the submission. If the Director of Human Resources and Compliance agrees that the position qualifies as an AP position, the Director will forward the recommendation to the President. If the Director does not agree that the position qualifies as an AP position, the Director will so notify the employee who submitted the proposal.

B. Procedures for Termination for Cause

The President will send the AP employee written notice of the College's intent to terminate. The notice will: (1) describe the conduct of the employee believed to form the basis for the termination for cause; (2) specify how the actions constitute cause within the meaning of the policy; and (3) specify a deadline for the employee's written response, which must be at least five working days after the date of the notice. The employee may be placed on paid administrative leave pending the termination date, at the College's discretion.

Policy B.8.**Policy Name: Recruitment and Hiring of Administrative and Professional Employees****Responsibility for Maintenance: Director of Human Resources and Compliance****I. Policy Statement**

The College is committed to hiring the most qualified person for each position while ensuring equal employment opportunity to all qualified individuals. The policy provides guidelines for an efficient and competitive hiring process for AP employees that produces the highest quality applicant pools and promotes equal employment opportunity.

II. Reason for Policy

The purpose of this policy is to provide guidelines for an efficient, consistent and competitive hiring process that promotes equal employment opportunity and a highly effective AP workforce. In addition, this policy provides information regarding general employment hiring procedures, onboarding and orientation for employees in one consolidated place.

III. Applicability of the Policy

This policy describes the employment hiring procedures, orientation and onboarding process for all Administrative and Professional employees. This policy does not apply to the temporary designation of an individual to fill a vacant AP position as an "acting" or "interim" employee. Such temporary designation must be accompanied by the initiation of the process outlined in this policy.

IV. Related Documents

Hiring of classified employees is governed by the Commonwealth of Virginia Department of Human Resource Management Policy 2.10.

http://www.dhrm.virginia.gov/docs/default-source/hrpolicy/pol2_10hiring.pdf?sfvrsn=2

V. Contacts

Policy Name	Office	Title	Telephone Number	Email
Recruitment and Hiring of Administrative and Professional Employees	Human Resources and Compliance	Director of Human Resources and Compliance	(804)862-6100 ext 6208	dbell@rbc.edu

VI. Definitions

"Administrative and Professional employees" hold those positions identified as Administrative and Professional in accordance with Policy XXX "Designation of Administrative and Professional Employees."

VII. Procedures

For a newly created position or vacancy, the steps below are provided for the Hiring Manager's utilization. Note: The Director of Human Resources and Compliance will guide you through these steps and welcomes the opportunity for discussion.

A. Position Vacancy Advertisement Approval Process

1. All requests for new positions and replacement positions are required to be authorized by the President prior to:
 - a. The advertisement of any position,
 - b. Any interviews being conducted, and
 - c. Any offers of employment are made.
2. To initiate the search process for full-time, part-time and temporary positions, please:
 - a. Complete a Request to Hire Form (Form#1 TBD).
 - b. Provide an up-to-date position description to the Director of Human Resources and Compliance.
 - c. Receive confirmation from the Chief Finance Officer regarding budgetary authorization for the position and/or proposed salary rate.
3. If the authorization to hire is approved, the Director of Human Resources and Compliance will partner with you to create a job posting and recruitment plan. Please note: College vacancies will always be advertised on the Virginia Employment Commission's employment page for a minimum of five (5) days.
Note: If employment-related housing in the dorms is being considered, please share this information with the Resident Director and the Director of Property Management.

B. Interview Process

Before a search begins, all those who will be involved in the selection process, and all those who will have contact with applicants for employment, are asked to carefully review and use the HR New Hire Position Vacancy Checklist (Form#2 TBD) as a guide, along with the Guidelines for Conducting Effective Interviews (Form#3 & web link TBD) and the College's Equal Employment Opportunity policy (web link TBD). Any member of the selection/search committee (minimum of 3 panel members) who has not had prior interview skills training is encouraged to schedule a meeting with the Director of Human Resources and Compliance.

1. Identify Candidates. The Hiring Manager/Search Committee will review the pre-screened resumes and determine candidates to interview on the basis of alignment with the required qualifications outlined in the job description and posting.
2. Conduct interviews. Generally, a minimum of 3 applicants should be interviewed for a position. Initial phone interviews or email screenings may be conducted to help determine candidates to invite for campus interviews. The Hiring Manager/Search Committee will notify the Director of Human Resources & Compliance of applicants who have accepted an invitation to interview.
3. Travel Expenses. The College pays reasonable and necessary search expenses. Prior approval is required for candidates who require travel accommodations; these requests will be reviewed on a case-by-case basis.

C. Selection Process

1. Check and document the references of candidates interviewed using the Reference Check Form (Form#4 TBD). The candidate is to be notified, in advance, that current and former employers will be contacted for a professional reference. The candidate's permission must be secured before contacting a current employer. Forward documentation of reference checks to the Human Resources Specialist (Employee Relations).
2. Once a candidate is selected for a job offer, document the reasons for the selection decision using the New Hire Documentation Form (Form#5 TBD) and forward the document to the Human Resources Specialist (Employee Relations).
3. Prior to making any offer of employment:
 - a. Consult with the President to receive approval and to validate whether the Hiring Manager or the President will extend the offer
 - b. Consult with the Chief Finance Officer to revalidate budgetary allowance and to determine a starting salary
 - c. Consult with Human Resources to determine a hire date for the lead candidate (in accordance with required payroll actions). It is the policy of the College that all new members of the professional staff must successfully complete a background check prior to the start of employment. Human Resources and Compliance works directly with Campus Security to facilitate the conduct of various background and credential checks, depending upon the position being hired.
 - d. Returning employees who have a break in service longer than 6 months must also successfully complete a background check before rejoining the College.
 - e. Extend the verbal job offer to the lead candidate. In all offers of employment, it must be stated that the offer is contingent upon the successful completion of background checks and verification of credentials.

D. Candidate Notifications

Upon candidate acceptance of the offer of employment, each internal applicant (i.e., current College employee) who applied but will not be offered the position should be promptly notified, whether or not an interview was granted. Notify any College alums who applied but will not be offered the position (whether or not interviewed) and any other candidates who were interviewed but will not be offered the position. Human Resources will notify all other individuals who applied for the position.

E. Appointments and Exceptions to Normal Searches

Rare circumstances may be identified whereby the President may appoint a faculty member or administrator, for a limited and clearly specified time, to an existing vacant position without a normal search.

The following exceptions to a full search are covered by this policy.

1. Uniquely Qualified Professional. Appoint a professional who would enhance the organization because of a unique set of professional skills that are rarely duplicated, or that meet particular special needs of the College.
2. Reorganization. As a result of a documented and strategic reorganization plan, employees may be reassigned to different or newly created positions. Automatic reassignments should not be taken for granted if they limit the opportunity of other qualified candidates to compete for the position.
3. Urgent/Emergency Appointment. Temporary appointment **(less than 90 days)** of a qualified individual due to a critical timing issue, such as the illness, injury or sudden death of a faculty or staff member, an inopportune resignation that created a vacancy— i.e. beginning of semester—, or similar unanticipated needs.

F. Onboarding and Orientation Processes

Upon completion of the candidate interview, selection, notification and acceptance processes, the Human Resources Specialist (Employee Relations) will send a "Welcome to RBC" email packet that includes the new hire's appointment information (position, salary, date of hire) and the necessary steps to accomplish the pre-employment process (background check, education verification).

Human Resources will keep the hiring manager copied on all communications with the new hire. **Please note:** If the new hire fails to return the requested documents or perform required steps in the new hire process, the start date may be delayed.

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New hires must participate in the On-Boarding and Orientation program (web link TBD). Based on federal regulations, **all new hires, including temporary employees, must report to New Employee Orientation (NEO) within their first three days of employment.** Hiring Managers are highly encouraged to use the Manager's New Hire Checklist (Form #7 TBD) as a guide for the successful onboarding and orientation of a new employee, and also to send out a notice regarding a "meet and greet" session for colleagues to introduce themselves to the new employee.

Policy B.9.

Policy Name: Performance Evaluation of Administrative and Professional Employees

Responsibility for Maintenance: Director of Human Resources and Compliance

I. Policy Statement

This policy establishes a system for: (1) setting performance goals and objectives as well as career development goals; (2) monitoring employee progress, providing constructive feedback and evaluating performance; and (3) aligning performance plans with the College's mission and strategic goals, as well as budget, IT initiatives and operational priorities.

II. Reason for Policy

The purpose of this policy is to establish a method for the evaluation of Administrative and Professional (AP) employees.

III. Applicability of the Policy

Administrative and Professional (AP) employees shall be subject to formal and periodic evaluations of their administrative performance.

Written performance evaluations of administrative and professional faculty shall be conducted, and pay increases shall be based on an objective analysis of the performance of each individual.

Annual reviews of all administrators below the level of President will use the Richard Bland College Self-Evaluation Form to conduct a self-assessment. Supervisors will consider the self-assessment, as well as progress toward operational plan goals, and overall performance of duties as established in the position description for the job title.

All affected AP employees whose beginning date of employment is no later than February 15 of the year being reviewed must complete a self-evaluation no later than April 1st of the fiscal year (July 1 – June 30) being reviewed.

IV. Related Documents

- Annual Performance Evaluation – Administrative Staff (HR form)
- Self-Evaluation (HR form)
- Annual Administrative Performance Evaluation Schedule (HR form)

V. Contacts

Policy Name	Office	Title	Telephone Number	Email
Performance and Evaluation of Administrative and Professional Employees	Human Resources and Compliance	Director of Human Resources and Compliance	(804)862-6100 ext 6208	dbell@rbc.edu

VI. Definitions

Upon completion of the performance review process, supervisors assign one of the following performance ratings to AP employees. Each rating is defined below:

A. Consistently Exceeds Performance Expectations

1. Demonstrates exceptional quality of work in all essential areas of responsibility
2. Always makes an exceptional or unique contribution in achievement of unit, department, and college objectives

B. Frequently Exceeds Performance Expectations

1. Always achieves performance expectations and frequently exceeds them
2. Demonstrates performance of a very high level of quality
3. Significantly contributes to the success of the services and projects they support

C. Performance Expectations Fulfilled

1. Consistently fulfills performance expectations and periodically may exceed them
2. Work is of high quality in all significant areas of responsibility
3. Any performance concerns are resolved through coaching, feedback, and self-initiative

D. Inconsistently Fulfills Performance Expectations

1. The employee's work does not consistently meet the most basic job requirements of the position. While the employee may have performed acceptably in some areas, overall job performance needs to be improved
2. A performance improvement plan may be discussed and agreed to by the employee and the supervisor
3. Failure to demonstrate improvement may result in additional action

E. Fails to Meet Performance Expectations

1. The employee's work is below the basic requirements and immediate and continued improvement is required
2. A performance improvement plan is to be discussed and agreed to by the employee and the supervisor
3. Continued failure to show improvement may result in additional action

VII. Procedures

A. Roles and Responsibilities

1. Employee
 - a. Participates with supervisor in the development of annual operational goals and professional development goals, , and makes suggestions for revising goals as necessary during the performance year;
 - b. Has a clear understanding of supervisor's expectations and requests clarification if necessary;
 - c. Manages own performance to achieve annual operational goals, bringing to supervisor's attention circumstances that may affect their achievement;
 - d. Seeks performance feedback from supervisor during tri-annual performance reviews, or as needed;
 - e. Fully participates in performance discussions during tri-annual review meetings and during the annual performance evaluation meeting; and
 - f. Addresses aspects of performance identified as needing improvement.
2. Supervisor
 - a. Seeks input from employee regarding individual annual operational goals and professional development goals;
 - b. Monitors employee performance during the performance year and communicates with employee on an ongoing basis about performance;
 - c. Holds interim discussions in the form of tri-annual reviews in November, January and April about performance with each employee; documents the discussion where appropriate;
 - d. Addresses instances of poor performance or other significant performance issues in a timely manner;
 - e. If appropriate, seeks feedback concerning employee performance from internal and external sources, including external peers, team members, coworkers, stakeholders, or others;
 - f. Assists employees whose performance has been identified as needing improvement in one or more aspects to make the necessary improvement;

- g. Prepares annual performance evaluations, ensuring that all significant performance issues are documented; and
 - h. Meets with employees individually to discuss their evaluations and development needs.
- 3. Human Resources
 - a. Provide for the training needed to increase supervisors' effectiveness in performance management and evaluation;
 - b. Ensure that all supervisors are knowledgeable about the processes and requirements of this policy and abide by it.
 - c. Support employees and their supervisors in the performance management process; and
 - d. Maintain up-to-date forms, files and records.

B. Performance Planning

1. Planning

At the beginning of the performance cycle (July-September), the employee, with input from the supervisor, will develop an operational/performance plan that includes measurable, target goals for the year. Employees will also review their position description for accuracy. While based on the employee's job duties as stipulated in the position description and the long-term master plan goals of the unit, operational/performance plan goals will reflect measurable goals for the coming year, including those that support the College's strategic plan. The operational goals for the unit should be prioritized by the supervisor and entered into TK-20.

While the plan will establish the goals, objectives, and performance necessary to achieve the satisfactory level, supervisors and employees are encouraged to discuss the opportunity and effort needed to achieve higher performance levels.

Supervisors will finalize their unit's operational/performance plans for the upcoming year within 90 days of the new performance year and will meet individually with each employee under their supervision to discuss the final operational/performance plans and expectations.

An operational/performance plan for new employees must be established within 30 days of their start date. For employees whose start date is after March 1 of a given performance year, a performance plan will be established for the next performance year.

2. Methods and Documentation

In accordance with guidance from the Director of Human Resources and Compliance, the supervisor will inform the employee at the beginning of

the operational/performance year of the primary methods or bases the supervisor will use in evaluating the employee's performance for the upcoming year.

C. During the Performance Year

If during the performance year there are significant changes to the employee's core responsibilities, the employee and supervisor will review the operational/performance plan and revise as needed. If the supervisor changes during the performance period, the departing supervisor will complete a written interim performance evaluation of the employee, unless the supervisor is departing less than 90 days following the employee's most recent annual performance evaluation or tri-annual performance evaluation.

D. Performance Evaluation

1. Schedule

Employee performance is formally evaluated at the end of each performance year, by the deadline established in the Performance Evaluation Schedule, which is maintained by the Director of Human Resources and Compliance. Typically, the performance year is July 1 - June 30, but the Director may establish an alternate performance year if it is more suitable to the nature of the position. Employees who began work after March 1 of a performance year will not receive a formal performance evaluation for that performance year.

2. Process and Documentation

The performance evaluation should be completed using guidance from and forms provided by the Director of Human Resources and Compliance. In addition, the supervisor must provide the employee with an opportunity to complete a self-assessment based on his or her performance plan.

The supervisor is responsible for ensuring consistent and appropriate application of the evaluation process and for ensuring that the documents are included in the employee's official personnel file.

The supervisor will give the employee a copy of the final performance evaluation prior to meeting individually with the employee to discuss it.

Supervisors who rate an employee's performance as *Inconsistently Fulfills Performance Expectations* must provide guidance and, where appropriate, training to improve performance. Supervisors will provide both the employee and the Director of the Human Resources and Compliance with documentation of the guidance given, and of the training to be completed. The employee who is assigned such training shall provide the supervisor

and the Director of Human Resources and Compliance documentation of its completion.

Supervisors who rate an employee's performance as or *Fails to Meet Performance Expectations* must, in consultation with the Director of Human Resources and Compliance, develop a performance improvement plan. The supervisor will re-evaluate the employee three months after the development of the performance improvement plan, to determine whether performance has improved. Employees whose performance continues to be unsatisfactory at the end of the re-evaluation period are subject to termination for cause. (See Policy B.7 – Designation, Appointment and Termination of Administrative and Professional Employees)

E. Appealing Performance Evaluations

An employee who disagrees with his or her performance evaluation should discuss the issue with the supervisor and, within ten (10) business days of having received the evaluation, may request that it be reconsidered. The supervisor may decline to reconsider the evaluation, or may reconsider it and either affirm or revise the original evaluation; such action must be taken within ten (10) business days of the employee's request for reconsideration.

Deadlines described above may be extended to accommodate vacations, absences, or other reasonable delays.

Policy B.10.**Policy Name: Grievance Procedure for Administrative and Professional Employees****Responsibility for Maintenance: Director of Human Resources and Compliance****I. Policy Statement**

It is the policy of the College to provide an environment where employees can raise and seek resolution to employment-related concerns and complaints, openly discussing them with supervisors without fear of intimidation or retaliation. The College promotes informal, timely, and efficient resolution of employment concerns and complaints by encouraging Administrative and Professional (AP) employees to discuss these matters and to address concerns as they are raised. The College also provides this process to ensure that complaints that rise to the level of a grievance are given thoughtful consideration and fair treatment.

The College does not tolerate any form of retaliation against an employee who has filed a grievance or assisted another employee who is filing a grievance. Employees will not be penalized or disciplined for raising employment-related concerns, complaints, or grievances in good faith, or for assisting another employee who is filing a grievance.

II. Reason for Policy

This policy establishes a process by which AP employees may have concerns or complaints related to their employment addressed.

III. Applicability of the Policy

This policy applies to the College's AP employees and their supervisors. This policy does not apply to employment-related issues that are governed by other policies that provide a means of addressing violations, such as Policy D.1 - Discrimination, Harassment, Sexual Misconduct, and Retaliation.

IV. Related Documents

NONE

V. Contacts

Policy Name	Office	Title	Telephone Number	Email
Grievance Procedure for Administrative and Professional Employees	Human Resources and Compliance	Director of Human Resources and Compliance	(804)862-6100 ext 6208	dbell@rbc.edu

VI. Definitions

"Grievance" means a complaint made by an employee about a decision, action, lack of action, or the application of a College policy that directly and adversely affects the work activity or professional well-being of the employee, and which can be remedied by the College.

VII. Procedures**A. Informal Resolution**

An employee who has an employment-related concern or complaint is encouraged to discuss it with his or her supervisor as soon as practicable, and in the spirit of problem solving. If the employee's immediate supervisor is the subject of cause of the complaint, the employee may request a meeting with the immediate supervisor's manager. The employee should be mindful of the need for timely airing of the complaint as well as deadlines related to the filing of a grievance, should they become relevant.

Although informal resolution does not require documentation, employees are encouraged to consider the information requirements set out below, and provide the supervisor with the background and details needed to resolve the matter.

If no resolution is reached through informal channels, the employee may:
(1) ask the assistance of the Director of Human Resources and Compliance in mediating a resolution; or (2) file a formal grievance.

B. Mediation

Mediation is an alternative for resolving employment-related issues. Mediation is a voluntary process through which a neutral third party assists people in conflict to explore their differences and develop their own solutions to these issues. A decision to mediate does not prevent an employee from initiating grievance. Where the parties have agreed to mediate, the time requirements of the grievance procedure may be extended by mutual agreement. The Director of Human Resources and Compliance will coordinate the mediation.

C. Grievance Process

Exclusions: Although many complaints can be handled under this policy, the following issues can be grieved through the process outlined below only to the extent the decision, action, or lack of action is arbitrary or capricious, or involves an alleged violation of College policy or applicable law:

- Reorganization;
- Reassignment of duties;
- Non-renewal of contract;
- Performance evaluation;
- Denial of promotion;
- Compensation matters or benefits;
- The contents of established policies, rules, procedures, regulations, ordinance, and statutes;
- Work activity accepted by an employee as a condition of employment or that reasonably may be expected to be a duty of the job; or
- Relief of employees from duties in emergencies.

The following process is designed to provide a formal structure for handling a grievable complaint. AP employees and supervisors are encouraged to seek amicable resolution at any time during this process.

1. Level One: If the employee has a concern or complaint that qualifies as a grievance, and which was not or could not be resolved to his or her satisfaction through the informal process, the employee may submit a written statement of the grievance. The employee will submit the grievance to the supervisor or, if the supervisor is the subject of the grievance, to the supervisor's manager. If informal resolution was used, the employee must submit the written grievance within ten business days of receiving the supervisor's (or the supervisor's manager's) response. If informal resolution is not used, the written grievance should be filed no later than thirty days after the decision or action being grieved occurred or the employee becomes aware of the decision or action.
 - a. The employee will provide the following information in the written grievance:
 - i. The issue being grieved, including a clear statement of the facts upon which the complaint is based;
 - ii. Any documentary or other evidence in the employee's possession, a list or description of requested records the employee believes pertinent to the grievance;
 - iii. An explanation of how the employee has been adversely affected;
 - iv. A copy of any pertinent College policies, contractual agreements, or other documents upon which the employee relies; and
 - v. A statement of the specific relief sought.

This information will constitute the grievance file. Failure to submit this information may result in the complaint being found non-grievable.

- b. Within ten business days of receiving the grievance (except as provided below), the supervisor (or the supervisor's manager, as appropriate) will provide the employee with a written response indicating either that:
- i. The supervisor has determined that the grievance has no merit or is not grievable, and the relief sought is denied. The supervisor will indicate the reasons for the determination; or
 - ii. The supervisor has determined that the grievance has merit, the relief to be granted (which may differ from the relief requested by the employee) and the reasons for this determination. If the relief is beyond the authority of the supervisor to provide, the supervisor will notify the employee that further administrative approvals are necessary, and will consult with the appropriate College officers or other parties. Additional time will be required in these instances. The supervisor, with input from the employee, will establish a reasonable time by which the relief granted is in place.

If the written response of the supervisor (or the supervisor's manager) is satisfactory to the employee, the employee will provide written notification to indicate conclusion of the grievance. If not, or if the relief granted is not provided by the established time, the employee may proceed to the next level. If the supervisor is the President, or if the grievance was against the supervisor and the President performed the role of the supervisor under the Level One process, the President's decision on the grievance is final.

2. Level Two: If the employee is not satisfied with the resolution at Level One, and the President has not already decided the grievance, the employee may advance the grievance to the President. Using the original grievance form, the employee will describe his or her dissatisfaction with the Level One resolution, provide any new, relevant information the employee wants the President to consider, and forward it to the President along with the rest of the grievance file within ten business days of receiving the written response from the supervisor.

The President will meet with the employee within ten business days following receipt of the grievance form. The President may request the employee's supervisor to be present. The employee, similarly, may bring an observer of his or her choosing from among the College's employees.

The President may conclude that the issue is not grievable, which decision is final; or may make a determination on the merits. The

President will communicate the decision in writing to the employee within ten business days of their meeting, except as provided below. If the President makes a decision on the merits and decides in favor of the employee, the President will also indicate the relief to be provided, as well as a reasonable time for it to be provided. The decision of the President is final.

3. Any deadline may be extended by the Director of Human Resources and Compliance for reason of absence due to vacation, illness, business travel, or other reasonable cause.

Policy B.11.**Policy Name: Leave without Pay for Faculty, and for Administrative and Professional Employees****Responsibility for Maintenance: Director of Human Resources and Compliance****I. Policy Statement**

Provided that they meet their primary duties to the College, full-time Faculty and AP employees may apply for leave without pay, or negotiate reduced responsibility contracts to pursue other professional work or to run for and/or hold political office. Such leave is granted at the sole discretion of the President.

II. Reason for Policy

This policy describes the circumstances under which Faculty and AP employees may be permitted to take leave without pay, or reduced-responsibility agreements.

III. Applicability of the Policy

This policy applies to full-time members of the teaching and research faculty who are otherwise covered under the Faculty Handbook (Faculty), and to Administrative and Professional (AP) employees. Leave without pay for College classified employees is governed by the Commonwealth of Virginia Department of Human Resource Management Policy 4.45.

IV. Related Documents

NONE

V. Contacts

Policy Name	Office	Title	Telephone Number	Email
Leave without Pay for Faculty, and for Administrative and Professional Employees	Human Resources and Compliance	Director of Human Resources and Compliance	(804)862-6100 ext 6208	dbell@rbc.edu

VI. Definitions

NONE

VII. Procedures**A. Submission of Request**

Members of the Faculty or AP employees seeking to take leave without pay or reduced-responsibility agreements must present their request to the President, together with:

1. A description of the reason for the leave, together with the precise dates proposed for the leave;
2. If a reduced-responsibility agreement is proposed, a description of the partial work to be performed, and the percentage of work that will be performed.
3. The recommendation of:
 - in the case of Faculty, the Dean of Faculty; or
 - in the case of AP employees, the supervisor of the employee.The recommendation must describe how the work (or partial work) of the employee will be managed during the period of leave. The recommendation should describe any other proposed terms and conditions of such leave.
4. If the proposal for managing the work of the employee during the period of leave will include strategies that will require the expenditure of funds in excess of the savings resulting from not paying the employee during the period of leave, a proposed budget identifying the source of additional funds.

B. Specific Terms and Conditions of Leave

If leave without pay or reduced responsibility leave is granted, the particular terms and conditions of the leave will be set forth in writing.

COLLEGE OF WILLIAM AND MARY
RESOLUTIONS

COLLEGE OF WILLIAM AND MARY
APPOINTMENTS TO FILL VACANCIES 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 individuals to fill these positions effective with the 2016-17 academic year:

CLAIRE MCKINNEY, Assistant Professor of Government and Gender, Sexuality, and Women's Studies

B.A., University of Texas, Austin, 2005
M.A. (2009) and Ph.D. (2014), The University of Chicago

Washington University
Postdoctoral Fellow, 2014-2016
Instructor, 2011-2014

ELIZABETH B. RAPOSA, Assistant Professor of Psychology

B.A., University of Pennsylvania, 2009
M.A. (2010) and Ph.D. (2015), University of California, Los Angeles

Yale-New Haven Hospital DBT Intensive Outpatient Program
Clinical Supervisor, 2014-2015

ANDREA GRACE WRIGHT, Assistant Professor of Anthropology and Asian and Middle Eastern Studies

B.A. (2000) and Ph.D. (2015), University of Michigan
M.A., The University of Chicago, 2004
M.A., University of Michigan, 2008

University of Michigan
Instructor, 2007-2009, 2012, 2014

COLLEGE OF WILLIAM AND MARY
FACULTY PROMOTIONS

The following members of the Instructional Faculty of the College of William and Mary have been recommended for promotion in academic rank by the appropriate departmental committees and chairs, the appropriate deans, and by the Provost and President.

BE IT RESOLVED, That upon recommendation of the President, the Board of Visitors of the College of William and Mary approves the academic promotion of the following members of the Faculty of the College, effective with the beginning of the 2016-17 academic year:

Associate Professor to Professor

ALLISON O. LARSEN, William & Mary Law School

Assistant Professor to Associate Professor

JAMES P. BARBER, School of Education

GÉRARD L. CHOUIN, Department of History

MICHAEL P. CRONIN, Department of Modern Languages and Literatures

JAMEL K. DONNOR, School of Education

CHRISTOPHER FREIMAN, Department of Philosophy

JONATHAN GLASSER, Department of Anthropology

LESLIE GRANT, School of Education

CAROLINE HANLEY, Department of Sociology

DIAFENG HE, Department of Economics

SHANTÁ D. HINTON, Department of Biology

JENNIFER G. KAHN, Department of Anthropology

MAX G. KATZ, Department of Music

JOHN LOMBARDINI, Department of Government

COLLEGE OF WILLIAM AND MARY
FACULTY PROMOTIONS

Assistant Professor to Associate Professor (cont'd)

PETER MCHENRY, Department of Economics

PIETER PEERS, Department of Computer Science

JEREMY W. POPE, Department of History

M. MUMTAZ QAZILBASH, Department of Physics

HANNAH ROSEN, Department of History and American Studies

ENRICO ROSSI, Department of Physics

CHRISTOPHER S. TUCKER, Department of Philosophy

KRISTIN L. WUSTHOLZ, Department of Chemistry

COLLEGE OF WILLIAM AND MARY
AWARD OF ACADEMIC TENURE

The following members of the Instructional Faculty at the College of William and Mary have been recommended for the award of academic tenure by the appropriate departmental committees and chairs, the appropriate deans, and by the Provost and President.

BE IT RESOLVED, That upon recommendation of the President, the Board of Visitors of the College of William and Mary approves the following members of the Faculty be awarded academic tenure, effective with the beginning of the 2016-17 academic year:

JAMES P. BARBER, School of Education

GÉRARD L. CHOUIN, Department of History

MICHAEL P. CRONIN, Department of Modern Languages and Literatures

JAMEL K. DONNOR, School of Education

CHRISTOPHER FREIMAN, Department of Philosophy

JONATHAN GLASSER, Department of Anthropology

LESLIE GRANT, School of Education

CAROLINE HANLEY, Department of Sociology

DIAFENG HE, Department of Economics

SHANTÁ D. HINTON, Department of Biology

JENNIFER G. KAHN, Department of Anthropology

MAX G. KATZ, Department of Music

ALLISON O. LARSEN, William & Mary Law School

JOHN LOMBARDINI, Department of Government

PETER MCHENRY, Department of Economics

PIETER PEERS, Department of Computer Science

JEREMY W. POPE, Department of History

M. MUMTAZ QAZILBASH, Department of Physics

HANNAH ROSEN, Department of History and American Studies

ENRICO ROSSI, Department of Physics

CHRISTOPHER S. TUCKER, Department of Philosophy

KRISTIN L. WUSTHOLZ, Department of Chemistry

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 2016-17 academic year:

GUL OZYEGIN, Margaret Hamilton Associate Professor of Sociology and Gender, Sexuality and Women's Studies

JUNPING SHI, Margaret Hamilton Professor of Mathematics

YANFANG TANG, Chancellor Professor of Chinese Studies

CHITRALEKHA ZUTSHI, James Pinckney Harrison Professor of History

COLLEGE OF WILLIAM AND MARY
TERM DISTINGUISHED PROFESSORSHIPS

The following members of the Instructional Faculty of the College of William and Mary have been recommended for term distinguished professorships which recognize outstanding mid-career faculty members.

BE IT RESOLVED, That upon recommendation of the President, the Board of Visitors of the College of William and Mary approves the distinguished professorships for a three-year term for the following members of the Faculty of the College, effective with the 2016-17 academic year:

MELANIE V. DAWSON, David and Carolyn Wakefield Term Distinguished Associate Professor of English

SARAH L. DAY, Cornelia Brackenridge Talbot Term Distinguished Associate Professor of Mathematics

ANNE CHARITY HUDLEY, Class of 1952 Term Associate Professor of English

SARAH L. STAFFORD, Paul R. Verkuil Term Distinguished Professor of Public Policy

COLLEGE OF WILLIAM AND MARY
FACULTY LEAVES OF ABSENCE

The following faculty members have requested a leave of absence without pay or with partial pay during the 2016-2017 academic year for the reasons given.

BE IT RESOLVED, That upon recommendation of the President, the Board of Visitors of the College of William and Mary approves these leaves of absence:

JOANNE M. BRAXTON, Frances L. and Edwin L. Cummings Professor of English and Africana Studies, to accept a Library of Congress Fellowship in the John W. Kluge Center

SCOTT R. NELSON, Leslie and Naomi Legum Professor of History, to participate in an exchange program with the University of Leiden, Netherlands

COLLEGE OF WILLIAM AND MARY
RETIREMENT OF SHARON HALL DEFUR
SCHOOL OF EDUCATION

Sharon Hall deFur received her undergraduate degree in Psychology from the College of William & Mary and in 1998 she returned to her alma mater as an assistant professor. During the intervening years, she worked as a special education teacher in Baltimore, Maryland and Fairfax County Public Schools, and as an educational diagnostician in Manassas City Public Schools. She also completed a M.Ed. in Special Education from Loyola College. After earning an Ed.D. in Special Education from George Washington University in 1990, Dr. deFur served as a Specialist in the Office of Special Education and Student Services with the Virginia Department of Education.

During her 18 years as a William & Mary faculty member in the School of Education, Professor deFur effectively balanced the roles of teaching, scholarship and professional service while serving in key leadership positions. She was Coordinator of the Curriculum and Instruction Area for three years and served as a member or chair of nearly every major committee in the School of Education. She was awarded tenure and promoted from Assistant Professor to Associate Professor in only three years and promoted to Professor in 2008.

While her primary area of expertise is students with learning disabilities who are experiencing transitions in their lives or school experiences, she taught nearly every course in the undergraduate and graduate special education curriculum and several seminars for leaders seeking a doctoral degree in Special Education Administration. Professor deFur also taught several freshmen seminars and advised undergraduate students conducting research on disabilities. Additionally, Professor deFur chaired seven dissertation committees and served on many more. In total, she has taught more than 1,500 students at W&M and has conducted professional development programs for over 10,000 practicing teachers from across the Commonwealth and nation. Student and professional evaluations have consistently ranked her performance as superior. Her teaching has garnered her a prestigious term chair from W&M, the Alumni Memorial Chair.

Professor deFur is known by her students as a professor who is passionate about the teaching and learning of students with disabilities. She mentored her students in the content and skills but, more importantly, in the ethical and legal aspects of special education. Students who graduated from her programs are highly sought as general or special education educators who also become leaders in the profession and of professional organizations.

Professor deFur has authored or co-authored over 32 publications in academic and professional journals and two books. She has also made major contributions to special education and school psychology in her role as a test reviewer for The Buros Institute of Mental Measurements.

Professor deFur has been especially productive in securing external funding to support programs, students and research projects. As Principal or Co-Principal Investigator, she garnered nearly \$4 million in funded grants and contracts for W&M. From 1999-2013, she led evaluations of the Special Education State Improvement Grants, and from 2005-10, she co-directed the Training and Technical Assistance Center, both sponsored by the Virginia Department of Education. Most recently, she directed a major grant from the U.S. Department of Education entitled, "Preparing and Sustaining Inclusive Educators."

Throughout her career, Professor deFur has been actively engaged with the international Council for Exceptional Children and its divisions, including serving as President of the Division on Career Development and Transition. She has been recognized for leadership in transitioning students with disabilities to post-secondary education, employment and independent living. Professor deFur has been the recipient of multiple awards including the Bill Hinek Lifetime Achievement and Transition Leader of the Year Awards from the Virginia Council of Exceptional Children, a distinguished committee of her peers. She continues to be a tireless advocate for social justice and the inclusion of individuals with disabilities and all types of diversity.

BE IT RESOLVED, That the Board of Visitors acknowledges the retirement of Sharon H. deFur; expresses its appreciation for her many contributions to the College of William & Mary; and approves, with deep gratitude for her 18 years of service, a change in status from Professor of Education to Professor of Education, Emerita.

BE IT FURTHER RESOLVED, That the resolution be spread upon the minutes of the Board and a copy of the same be delivered to Professor deFur with best wishes for continuing and creative work in the years ahead.

COLLEGE OF WILLIAM AND MARY
RETIREMENT OF GEORGE D. GREENIA
DEPARTMENT OF MODERN LANGUAGES AND LITERATURES

George Greenia received his A.B. from Marquette University with majors in Spanish and Latin. He earned his M.A. and Ph.D. in Spanish from the University of Michigan. Professor Greenia joined the faculty of the College of William & Mary in 1982 as an Assistant Professor of Spanish. He was promoted to Associate Professor in 1988, and Professor in 1998.

A scholar of Spanish medieval cultural studies, over many years George Greenia has literally walked alongside scores of W&M students, traversing hundreds of miles with them along the historic St. James route in northern Spain. Whether he is supervising on-site undergraduate research along the paths of pilgrimage in western Europe, guiding students through the interdisciplinary Medieval & Renaissance Studies program that he co-founded at the College, or making the ancient medieval archive come alive for today's generation of learners, Professor Greenia has facilitated the academic journey of thousands of W&M students during his long and illustrious 34-year career on our campus. He has been deeply, passionately committed to enhancing the quality of life for our students for decades, not only within the classroom, but outside of it as well, earning a reputation as one of the most trusted faculty advisors for diverse communities on our campus.

Professor Greenia's impact as a professor/mentor is inseparable from his field of specialization in Iberian medieval studies and contemporary pilgrimage studies. Thanks in large part to his work as the long-time editor-in-chief of *La Corónica*, the leading English-language journal in the field of medieval Hispanic literature, he is a well-known medieval studies scholar; in 2007, the Council of Editors of Learned Journals recognized his outstanding stewardship of this journal with their "Distinguished Editor Award." His considerable contributions as an assiduous editor of medieval cultural production are evident in the two-volume encyclopedia he co-edited, *Castilian Writers, 1200-1500*. Also in 2007, Professor Greenia received Spain's highest cultural distinction for foreign nationals, the Cross of Isabel the Catholic, in recognition of his contributions to the research and dissemination of Spain's cultural heritage. He is a much sought after speaker who has presented more than 85 guest lectures in universities around the world, including the U.S., Canada, England, Spain, and the Netherlands. But no audience has benefitted more from his knowledge, witty lectures, and hidden archival treasures revealed, than his students.

Professor Greenia has spearheaded fruitful interdisciplinary collaborations that have been key to the success of the Med/Ren Studies program that he helped create in 1991 and directed for fifteen years. The roster of his course titles – "Love & Prostitution in Medieval Spain," "The Theft of Relics in the Medieval Archive," "The Book of Revelation: from Rome to Waco," "Alfonso X: Magic, Stars, Love", "The Medieval Book" – invites the curious learner into an unfamiliar world where Professor Greenia skillfully guides students along the path of discovery. He is a devoted teacher of research skills, and his students have presented at international conferences and published in journals in the field of Hispanic Studies.

Surely, the intellectual crossroads that our students have most profoundly and productively navigated under Professor Greenia's supervision is in the field of pilgrimage studies. In 2005, he began traveling to Spain with small groups of fellow travelers, walking the Camino de Santiago with them. Eventually, he developed this initiative into the ongoing W&M summer abroad program in Santiago, characterized by course work that combines field research, in-class instruction, and the pilgrimage itself. In 2007 he curated the exhibit *Sacred Steps*, which featured visual art, including student work. Since then, Professor Greenia founded the Institute for Pilgrimage Studies, which sponsors an annual symposium similarly including a forum for student-scholars' research. He has used his active network in the nation's capital to obtain annual summer internships for four W&M students to work on cultural initiatives in the Spanish Embassy as well as summer internships at the Library of Congress that have benefited many Modern Languages and Literatures students.

In sum, Professor Greenia's career can be characterized as one of generous devotion to the students and the academic mission of the College of William & Mary. It is a surety that he will continue to mentor life learners and foster intellectual curiosity for many years after his official retirement from the College.

BE IT RESOLVED, That the Board of Visitors acknowledges the retirement of George D. Greenia; expresses its appreciation for his many contributions to the College of William & Mary; and approves, with deep gratitude for his 34 years of service, a change in status from Professor of Hispanic Studies to Professor of Hispanic Studies, Emeritus.

BE IT FURTHER RESOLVED, That the resolution be spread upon the minutes of the Board and a copy of the same be delivered to Professor Greenia with best wishes for continuing and creative work in the years ahead.

COLLEGE OF WILLIAM AND MARY
RETIREMENT OF BARBARA J. KING
DEPARTMENT OF ANTHROPOLOGY

Barbara J. King received her B.A. in Anthropology from Douglass College. She went on to earn her M.A. and Ph.D. in Anthropology from the University of Oklahoma. Professor King joined the faculty of the College of William & Mary in 1988 as a Visiting Assistant Professor of Anthropology, and became tenure-eligible the next year. She was promoted to Associate Professor in 1996, Professor in 2002, and was named a Chancellor Professor in 2008. Dr. King was also the University Professor for Teaching Excellence and the Class of 2007 Professor.

Professor King has performed remarkable service for the College both on campus and off. She has been a member of the Faculty Assembly, the Faculty Affairs Committee, the Retention, Promotion and Tenure Committee, and chaired the Outstanding Faculty Award Committee, to name just a few of her service roles. Dr. King has also been a longstanding member and director of the Undergraduate Committee in the Department of Anthropology.

Her service beyond the College is equally remarkable. She has served on seven editorial boards, including the boards of *American Anthropologist* and *Current Anthropology*, two flagship journals in the discipline. In recent years, she has served as the sole anthropologist to write for National Public Radio's "13.7 Cosmos and Culture" blog. The scope of her work and the audience she reaches surely make her one of the leading public intellectuals at William & Mary.

Professor King's scholarship in biological anthropology is remarkable and wide ranging. Her research began with a focus on primatology and the evolution of communication, research that she carried out through rigorous field research in Gabon and Kenya, as well as detailed observations in a number of zoological parks. Her interest in the evolution of language and social dynamics led her to develop path-breaking approaches to the evolution of gender and affect; this has culminated in her most recent prize-winning work on animal emotions, sentience, and sociality. She has published five books, has one more in press, and edited three volumes in her field. Professor King's work has been recognized with numerous international prizes; she has been a recipient of a Guggenheim Fellowship; and she capped her teaching career by delivering the Tack Faculty lecture in October of 2015 to a standing-room only crowd.

As accomplished as she is as a scholar and public intellectual, Professor King's teaching has been simply unsurpassed in her years at the College. The numerous prizes she has won for her teaching – including the Alumni Society Teaching Award, the Thomas Jefferson Teaching Award, and the Outstanding Faculty Award from the State

Council for Higher Education – only begin to tell the story of her teaching success. Through her brilliantly crafted sequence of courses on primate behavior, Professor King has supervised a remarkable group of undergraduates, a great many of whom have gone on to exceptional careers in anthropology departments around the world. Moreover, her students celebrate her effect on their lives long after they have departed William & Mary, and often write to let the department know what a profound impact her mentorship had on them as students, and as people. Professor King undoubtedly impressed upon them her commitment to them, as well as her devotion to the music of her fellow native New Jerseyan, Bruce Springsteen.

As a mentor, teacher, scholar and writer, Barbara King has been an invaluable colleague in the Department of Anthropology and the faculty of William & Mary.

BE IT RESOLVED, That the Board of Visitors acknowledges the retirement of Barbara J. King; expresses its appreciation for her many contributions to the College of William & Mary; and approves, with deep gratitude for her 28 years of service, a change in status from Chancellor Professor of Anthropology to Chancellor Professor of Anthropology, Emerita.

BE IT FURTHER RESOLVED, That the resolution be spread upon the minutes of the Board and a copy of the same be delivered to Professor King with best wishes for continuing and creative work in the years ahead.

COLLEGE OF WILLIAM AND MARY
RETIREMENT OF JUANITA JO MATKINS
SCHOOL OF EDUCATION

Juanita Jo Matkins joined the faculty of the School of Education in 2004 as an Assistant Professor of Science Education. With a B.S. from Towson State University, and M.Ed. and Ed.D. from the University of Virginia, Professor Matkins has devoted more than 40 years to education. Her influence on science education in the Commonwealth and beyond is substantial. Through her outstanding teaching and mentoring she has inspired countless numbers of practicing and future teachers to become effective science teachers in Virginia's schools. Although her accomplishments are many, Professor Matkins is perhaps best known for her stellar leadership of the Virginia Initiative for Science Teaching and Achievement (VISTA) program that teaches teachers how to incorporate problem-based, hands-on learning into their science lessons. VISTA's primary emphasis was to give teachers experience in planning and teaching science in a way that is connected to real-world problems and to provide opportunities for creativity and ingenuity on the part of the students.

The VISTA program was a partnership of more than 60 Virginia school districts, the Virginia Department of Education and six Virginia universities, including lead institution George Mason University. Funded by a five-year, \$34 million grant from the U.S. Department of Education, VISTA trained nearly 200 teachers from 2011-2015. Few initiatives have had such significant influence in the public education within the Commonwealth.

Professor Matkins was also a principal investigator for a National Science Foundation grant for that established the Noyce Scholars Program at William & Mary, and a grant from the Department of Education that established the Teachers for a Competitive Tomorrow (TCT) Teaching Fellows Program at the College. These grants are the result of collaborative efforts between the School of Education and the Faculty of Arts & Sciences. Upon the College receiving the initial funding for these two projects, President Reveley noted, "These grants from the National Science Foundation and the U.S. Department of Education make clear, once again, the College's preeminence in training K-12 teachers. It's especially good that the grants hinge on collaboration among our education, math and science faculties."

Additionally, Juanita Jo Matkins has been a principal or co-principal investigator for funded projects totaling approximately \$20 million; she has clearly been a major influence on STEM-related education in Virginia. She has also impacted STEM education through her many published refereed journal articles, numerous books, and large number of professional presentations and workshops.

BE IT RESOLVED, That the Board of Visitors acknowledges the retirement of Juanita Jo Matkins; expresses its appreciation for her many contributions to the College of William & Mary; and approves, with deep gratitude for her eleven years of service, a change in status from Professor of Education to Professor of Education, Emerita.

BE IT FURTHER RESOLVED, That the resolution be spread upon the minutes of the Board and a copy of the same be delivered to Professor Matkins with best wishes for continuing and creative work in the years ahead.

COLLEGE OF WILLIAM AND MARY
RETIREMENT OF TERRY L. MEYERS
DEPARTMENT OF ENGLISH

Terry L. Meyers received his B.A. from Lawrence University with a major in English, and earned his M.A. and Ph.D. in English from the University of Chicago. He joined the faculty of the College of William & Mary in 1970 as an Instructor; in 1973, he became an Assistant Professor, and was tenured and promoted to Associate Professor in 1979. In 1994, he was promoted to Full Professor, and since 2009 he has been a Chancellor Professor in English.

Professor Meyers was socialized into an institution where faculty rights and governance are highly valued and universally expected. He has worked, untiringly, to hold firm to the idea that the faculty are the core of the College and should be deeply involved and effective in every corner of its being. He has never shied away from controversial causes – he has always had the courage of his convictions. His earliest campaign at the College involved making the costs of our sports program transparent. He succeeded in this effort, although he did not stave off the sports program's ultimate expansion. Most recently, Professor Meyers worked to get the College to confront its full history in racial matters, from slavery onward. As a result, the Board of Visitors offered its support for the establishment of The Lemon Project: A Journey of Reconciliation. The Project is named for Lemon, a man who was once enslaved by the College of William & Mary. An ongoing endeavor, this program encourages scholarship on the 300-year relationship between African Americans and the College, and builds bridges between the College and Williamsburg and Greater Tidewater area.

In addition to campaigning for change at William & Mary, Professor Meyers has also done yeoman service in departmental administration. He served as chair of the English department from 1995 to 2001, and as interim chair of the Philosophy department from 2007 to 2010.

Professor Meyers' achievement as a teacher was recognized by a Thomas Jefferson Teaching Award and Alumni Fellowship. In scholarship, he has established himself as an international authority on Victorian poetry and in particular on the poet Algernon Swinburne (1837-1909). Professor Meyers has edited a critically respected multi-volume edition of Swinburne's uncollected correspondence. Professor Meyers' numerous articles, many on Swinburne, have appeared in major journals including *Modern Philology*, *The Review of English Studies*, and the pre-eminent journal in his field, *Victorian Poetry*.

BE IT RESOLVED, That the Board of Visitors acknowledges the retirement of Terry L. Meyers; expresses its appreciation for his many contributions to the College of William & Mary; and approves, with deep gratitude for his 46 years of service, a change in status from Chancellor Professor of English to Chancellor Professor of English, Emeritus.

BE IT FURTHER RESOLVED, That the resolution be spread upon the minutes of the Board and a copy of the same be delivered to Professor Meyers with best wishes for continuing and creative work in the years ahead.

COLLEGE OF WILLIAM AND MARY
RETIREMENT OF RICHARD H. PALMER
DEPARTMENT OF THEATRE, SPEECH AND DANCE

Richard H. Palmer received his B.A. from Princeton University with a major in English. He earned his M.A. and Ph.D. in Speech and Theatre from the University of Iowa. Professor Palmer joined the faculty of the College of William & Mary in 1980 as a Professor of Theatre and Speech, after teaching for sixteen years at Washington University in St. Louis.

Professor Palmer has served the College community in countless ways. He has been on a number of College-wide and Arts & Sciences committees, including Admissions Policy, Educational Media, Educational Policy (chair), Faculty Assembly (chair, Committee on Committees), Faculty Hearing (Grievance), Library Advisory, Prizes and Awards (chair), Promotion Retention, and Tenure, Faculty Research, and the Self-Evaluation (decennial) Steering Committee. Professor Palmer has also been a highly effective, long-standing member of the Department of Theatre, Speech, and Dance, having served as chair of Theatre and Speech for over ten years, and as Artistic Director of The William & Mary Theatre and General Manager of the Virginia Shakespeare Festival. He has contributed to numerous important committees within the department, including the Retention, Promotion and Tenure Committee, Departmental Assessment, and the Curriculum Committee. He has been involved in the hiring of every faculty appointment within the department since 1980. Professor Palmer has served the profession as an officer of Phi Beta Kappa, Alpha of Virginia, on the Executive Board of the Southeastern Theatre Conference, as President and Vice President of the Virginia Theatre Conference and as a consultant on new theatre structures.

As a scholar, Professor Palmer's research interests and publications have focused on dramatic theory, theatre history, design and criticism. He has been awarded four research leaves since 1985. He has been the Managing Editor of *Theatre Annual*, a *Journal of Performance Studies*, since 1996. His creative work is also notable: he has directed 45 productions for the William & Mary Theatre and the Virginia Shakespeare Festival, and designed another 20+ productions.

The major focus of Professor Palmer's career, however, has been on our students. His passion for teaching has remained undiminished over time. In recognition of this excellence, he was awarded the Phi Beta Kappa Teaching Award in 2014. Through his dedication, Professor Palmer has developed generations of informed, imaginative, and energetic theatre practitioners, sending dozens of students forward to pursue advanced study in theatre history, dramatic theory, and stage direction. His generosity as a mentor and an academic advisor are well documented,

and his high standards inform the work of his students and professional colleagues. His former students are now teaching, writing, performing and creating theatre all over the country.

BE IT RESOLVED, That the Board of Visitors acknowledges the retirement of Richard H. Palmer; expresses its appreciation for his many contributions to the College of William & Mary; and approves, with deep gratitude for his 36 years of service, a change in status from Professor of Theatre to Professor of Theatre, Emeritus.

BE IT FURTHER RESOLVED, That the resolution be spread upon the minutes of the Board and a copy of the same be delivered to Professor Palmer with best wishes for continuing and creative work in the years ahead.

COLLEGE OF WILLIAM AND MARY
RETIREMENT OF CHARLES PERDRISAT
DEPARTMENT OF PHYSICS

Charles Perdrisat came to William & Mary in the Fall of 1966, after a three-year post-doctoral appointment at the University of Illinois, Urbana-Champaign. He discovered William & Mary after attending a conference here organized by Professor R.T. Siegel earlier that spring, in preparation of a research program at the then new Space Radiation Effect Laboratory (SREL) in Newport News (built by NASA Langley, but administered by the trio of Virginia physics departments with graduate programs: University of Virginia, Virginia Polytechnic Institute and William & Mary); this proton accelerator was exactly the kind of facility with which he wanted to study the structure of light nuclei like Deuterium, Helium and Lithium.

This was a time of transition in the William & Mary Physics Department, as the graduate program had started just a year earlier. The department had been enriched by the hiring of a number of young Ph.D.s, new courses had been defined to make this transition possible, all under the efficient leadership of Professor Rolf Winter. Professor Perdrisat had the opportunity to teach new courses like "the Physics of Music" and "Historical Development of Astronomy/Cosmology," as well as basic courses such as Introductory Physics, Classical Mechanics and Classical Electromagnetism, and Quantum Mechanics.

After ten years of operation, SREL completed its mission and was closed around 1980. Over the next decade Professor Perdrisat did experiments in Vancouver (TRIUMF), Los Alamos (LAMPF), in Switzerland at the SIN laboratory (now Paul Scherrer Institute, PSI), and the SATURNE accelerator in Saclay, near Paris. This led to contacts with Russian physicists in Dubna in 1991, after discovering shared interests in using beams of polarized protons to investigate the structure of the lightest nuclei, and of the proton and neutron themselves. Of particular importance were the two research leaves he received in the 1970s (ETH, Zurich) and 1980s (Laboratoire SATURNE, Saclay France); these were essential to his development as a teacher and a researcher.

The creation in the late 1990s of Jefferson Lab (JLab), the national facility in Newport News which produces intense beams of polarized electrons up to ten times more energetic than previously available, opened the way to investigating the details of the internal structure of the nucleons themselves, to distances much smaller than the nucleon size. The JLab experiments initiated by Professor Perdrisat and his closest collaborators at the time, Dr. V. Punjabi (a W&M Ph.D. graduate, now a professor at Norfolk State University), Dr. M.K. Jones (senior research staff physicist at JLab), and Dr. E. Brash (professor at Christopher Newport University), have led to the discovery of

a startling manifestation of the proton's structure, closely related to its quark constituents, and in stark disagreement with previous data obtained by less sensitive methods started by Nobel prize winner Robert Hofstadter in the 1950s at Stanford. This first experiment was followed by two more, which extended the energy transferred to the proton (and hence sharpening the localization of the interaction) by a factor of three. The series of papers relating and discussing these results has gathered the largest number of citations of any experiment at JLab to date. Professor Perdrisat's over 200 papers have been cited more than 7,500 times in the literature, and he is a Fellow of the American Physical Society.

These experiments have led to a number of Ph.D. theses. Professor Perdrisat has supervised ten students who received their Ph.D. in the Physics department at William & Mary, starting with experiments at SREL, in Vancouver and Los Alamos, as well as Saclay and JLab. As one of the leading researchers in the Physics department, his scientific contributions, over a 50-year career here, are a shining example of continued excellence. He has helped lead the vigorous development of the Physics department since the inception of its Ph.D. program, and his retirement truly marks the end of an era. He will be missed.

BE IT RESOLVED, That the Board of Visitors acknowledges the retirement of Charles Perdrisat; expresses its appreciation for his many contributions to the College of William & Mary; and approves, with deep gratitude for his 50 years of service, a change in status from Professor of Physics to Professor of Physics, Emeritus.

BE IT FURTHER RESOLVED, That the resolution be spread upon the minutes of the Board and a copy of the same be delivered to Professor Perdrisat with best wishes for continuing and creative work in the years ahead.

COLLEGE OF WILLIAM AND MARY
RETIREMENT OF GARY W. RICE
DEPARTMENT OF CHEMISTRY

Gary W. Rice received his B.S. in chemistry from James Madison University in 1976 and earned his Ph.D. in analytical chemistry from Iowa State University in 1981. After a postdoctoral fellowship at Ames National Laboratory, he joined the College in 1984. Professor Rice was promoted to Associate Professor in 1990, served as department chair from 2001-09 and as interim chair in fall 2014.

As an analytical chemist, Professor Rice quickly began efforts to modernize the undergraduate educational experience in the quantitative area. Prior to his arrival, chemical analysis was taught from an outdated "wet chemical" perspective. He transformed the emphasis to modern, sophisticated and precise instrumental techniques. Since that time, Professor Rice has continued to keep abreast of the latest developments in an ever-changing high-tech field. Furthermore, he has continually and tirelessly spearheaded the department's efforts to keep our analytical equipment functional and current. In fact, in the past year, he tested and purchased modern digital technology to completely replace outdated tools for both collecting and plotting data in the lower division general chemistry laboratories.

Professor Rice is among the most successful teachers in the department. Previous College-wide recognitions include the Alumni Fellowship Award in 1990 and the University Professorship for Teaching Excellence in 1996 – he is one of the first faculty so honored. Notably, he has successfully taught courses across the entire Chemistry curriculum, from the largest introductory classes to the smallest upper level elective courses for majors. His lectures are uniformly praised by students for their combination of clarity, insight and sheer fun. He is renowned for his larger-than-life persona in lecture, playing the "mad scientist" for chemical demonstrations, dressing as Santa Claus at the end of the semester and delighting audiences in departmental magic shows.

Professor Rice's research is primarily in the area of environmental analytical chemistry and external support for his research exceeds \$1 million. He has had a long-standing relationship with faculty members at the Virginia Institute of Marine Science and he recently collaborated with Virginia Tech scientists on 'lab-on-a-chip' projects.

Students in his lab learned about careful handling of samples, the chemical and electronic workings of analytical instrumentation, and the limitations of analytical technology. He has mentored more than 150 students in research, and many of these students now hold key positions in academics, industry and government.

BE IT RESOLVED, That the Board of Visitors acknowledges the retirement of Gary W. Rice; expresses its appreciation for his many contributions to the College of William & Mary; and approves, with deep gratitude for his 32 years of service, a change in status from Associate Professor of Chemistry to Professor of Chemistry, Emeritus.

BE IT FURTHER RESOLVED, That the resolution be spread upon the minutes of the Board and a copy of the same be delivered to Professor Rice with best wishes for continuing and creative work in the years ahead.

COLLEGE OF WILLIAM AND MARY
RETIREMENT OF W. LARRY VENTIS
DEPARTMENT OF PSYCHOLOGY

Professor Ventis received his B.S., M.A., and Ph.D. in Psychology from the University of Tennessee. He completed his clinical internship at the Palo Alto, California Veterans Affairs (VA) Hospital. His first and only faculty position was at the College of William & Mary, where he was hired in 1969. His position was a joint appointment in the Counseling Center and the department of Psychology. He earned tenure in 1975 and was promoted to the rank of Professor in 1985. He became a full-time faculty member in the Psychology department in 1987.

Professor Ventis has had an illustrious career as a Clinical Psychologist whose research has focused on the therapeutic application of humor in systematic desensitization for the treatment of phobias. Professor Ventis also found that humor has been used in counter-therapeutic ways to make people feel more comfortable with risk-taking behaviors. As a testament to the respect he garners in his field, he has been a member of the executive board of the International Society for Humor Studies for six years, and a member of the board of directors of the Workshop Library on World Humor for 13 years. He is currently the president of the International Society for Humor Studies. Professor Ventis has also maintained an active research interest in the psychology of religion, and he was a co-author of a widely used text on the topic. As one example of this interest, he developed the Christian Humanist Implicit Association Test, which assesses unconscious religious attitudes.

Through his active research program, Professor Ventis has been an important mentor to countless graduate students in the Psychology department's M.A. program as well as to doctoral students in the Virginia Consortium doctoral program. He has chaired seven Honors theses (on 20 committees), nine M.A. theses (on 17 committees), and seven Psy.D. dissertations (on 20 committees). He has been instrumental in launching many successful clinical psychologists, some of whom have gone on to careers in academia and others to clinical practice. One particularly outstanding example of Professor Ventis' dedication to mentoring is his 42 years of being a freshman advisor, starting in 1974. Truly, this is a clear demonstration of his enduring dedication and commitment to serving the students of the College.

Professor Ventis has a long history of steadfast commitment to service and as a tribute to his dedication, he was awarded the Arts & Sciences Governance Award in the Spring of 2015. He was the chair of the Psychology department from 1999 to 2005; under his leadership, the department became more scientifically- and research-based, an important culture shift that has continued to present times. He has been a member or chair of the department's Personnel Committee for a total of twenty years, attesting to

the respect he garners in the department since this is an elected position. Professor Ventis also played a significant role in the development and operations of the four-institution consortial doctoral program in Clinical Psychology in which the Psychology department was an integral member for 35 years. At the College level, Professor Ventis has served on 19 different committees, often for multiple years and in the capacity as chair.

In sum, Professor Ventis has been a pillar in the Psychology department. His dry sense of humor, vast administrative experience and wisdom will be sorely missed by his colleagues. He has served the students and the College with high levels of distinction and honor for almost a half century; a truly remarkable and laudable accomplishment.

BE IT RESOLVED, That the Board of Visitors acknowledges the retirement of W. Larry Ventis; expresses its appreciation for his many contributions to the College of William & Mary; and approves, with deep gratitude for his 47 years of service, a change in status from Professor of Psychology to Professor of Psychology, Emeritus.

BE IT FURTHER RESOLVED, That the resolution be spread upon the minutes of the Board and a copy of the same be delivered to Professor Ventis with best wishes for continuing and creative work in the years ahead.

**RESOLUTION TO APPROVE DEMOLITION
OF MILLINGTON HALL (FAACS # 00117)**

WHEREAS, the College of William and Mary requests Board of Visitors' approval to demolish 500 Landrum Drive, also known as Millington Hall; and

WHEREAS, Millington Hall was constructed in 1960 as the Biology Building and used for Biology and Psychology until the present time; and

WHEREAS, the College received construction funding to renovate and expand the two major science facilities, Millington Hall and Rogers Hall in 2002; and

WHEREAS, during the planning and design phase of Millington Hall, the Department of General Services (DGS), through its division of the Bureau of Capital Outlay Management (BCOM) recommended that the building **not** be renovated due to inadequate floor to floor dimensions which could not accommodate modern ventilation and exhaust systems necessary for the safe operation of new laboratories, thus rendering the structure obsolete; and

WHEREAS, the Millington Hall renovation project evolved into the Integrated Science Center 1 & 2 (ISC 1 & 2) project which could incorporate Rogers Hall but not Millington; and

WHEREAS, Commonwealth approval and funding for ISC 1 & 2 were contingent on College officials agreeing to demolish Millington Hall, and funding for such demolition was incorporated into the build-out of the Integrated Science Center 3 (ISC 3); 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*, as renewed in 2009 and 2013; and

WHEREAS, the Agreement authorizes the College's Board of Visitors to approve demolition of buildings subject to review by the Commonwealth's Art and Architectural Review Board and the Department of Historic Resources; and

WHEREAS, under the Agreement, the College has established policies and procedures for the demolition of buildings and structures, including review by the Commonwealth's Art and Architectural Review Board and the Department of Historic Resources; and

THEREFORE, BE IT RESOLVED, By the Board of Visitors of The College of William and Mary in Virginia, that the proposed demolition of Millington Hall (FAACS # 00117) is approved in accordance with established policies and procedure; and

BE IT FURTHER RESOLVED, That the Senior Vice President of Finance and Administration, the Associate Vice President for Facilities Management, the College Building Official, and their respective staffs, are authorized to take all actions necessary to remove the building, in accordance with established policies and procedure.

**RESOLUTION TO APPROVE DEMOLITION
OF LODGES (FAACS # 00045 – 00052)**

WHEREAS, the College of William and Mary requests Board of Visitors' approval to demolish the Lodges, also known as 240 B (FAACS 00045), 240 C (FAACS 00047), 240 D (FAACS 00048), 240 E (FAACS 00049), 240 F (FAACS 00050), 240 G (FAACS 00051), 240 H (FAACS 00052) Gooch Drive; and

WHEREAS, the Lodges were built in the 1940's for the purpose of housing students, including Fraternities, and Lodge 2 (240 A Gooch Drive, FAACS 00043), also known as the Daily Grind, will remain in place; and

WHEREAS, the College's 2015 Campus Master Plan, as approved by the Board of Visitors in February 2015, calls for demolition of the Lodges in order to provide a building site for the (then) proposed Integrative Wellness Center; and

WHEREAS, the Integrative Wellness Center was authorized and appropriated by the 2015 General Assembly (project code: 204-18192); and the project schedule calls for clearing the site in summer of 2016; 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*, as renewed in 2009 and 2013; and

WHEREAS, the Agreement authorizes the College's Board of Visitors to approve demolition of buildings subject to review by the Commonwealth's Art and Architectural Review Board and the Department of Historic Resources; and

WHEREAS, under the Management Agreement, the College has established policies and procedures for the demolition of buildings and structures;

THEREFORE, BE IT RESOLVED, By the Board of Visitors of the College of William and Mary in Virginia, that the proposed demolition of the Lodges (FAACS # 00045 – 00052) is approved in accordance with established policies and procedure; and

BE IT FURTHER RESOLVED, That the Vice President of Administration, the Associate Vice President for Facilities Management, the College Building Official, and their respective staffs, are authorized to take all actions necessary to remove the building, in accordance with established policies and procedure.

**COLLEGE OF WILLIAM AND MARY
RESOLUTION TO APPROVE NON-GENERAL FUND CAPITAL PROJECTS:**

**Improve Muscarelle Museum
Expand Alumni Center
Construct Aquatic Center
Construct Basketball Practice Facility**

WHEREAS, from time to time, the College requires the authorization capital projects outside of the normal Commonwealth biennial cycle; and

WHEREAS, the 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 (the “Act”), as renewed, requires the Board of Visitors to approve any capital projects meeting the definition; and

WHEREAS, the Agreement allows the Board of Visitors to authorize at any time only non-general fund, no-debt projects without the approval of the Governor, the General Assembly, or any other Commonwealth agency; and

WHEREAS, the Agreement requires the Board of Visitors to seek General Assembly approval of any non-general fund debt authority; and

WHEREAS, under the Agreement, the College has established the appropriate policies and procedures to initiate, develop, manage and complete such projects; and

WHEREAS, the College has developed private fund solicitations in support of the prior named projects under its recently launched fund raising campaign *For the Bold*; and

WHEREAS, actual project initiation shall be subject to receipt of sufficient gifts, in accordance with College policy and practice;

THEREFORE, BE IT RESOLVED, By the Rector and the Board of Visitors of The College of William and Mary in Virginia, that the capital projects so listed in this resolution are now authorized in accordance with all authorities, policies, and procedures in force and necessary under the Agreement; and

FURTHER RESOLVED, That the Board of Visitors authorizes the Senior Vice President for Finance and Administration and his staff to pursue all necessary steps for the accomplishment of said project(s), upon completion of fund raising.

Improve Muscarelle Museum**\$20.0- \$40.0 M**

This project supports the improvement of the museum, whether through renovation and expansion, or by replacement, pending program development during a preplanning effort that will begin in late winter of 2016. This project, depending on its complexity, will likely take 10 to 15 months to design, following completion of the preplanning. The time to construct is wholly dependent on size, scope and any phasing required.

Construct Alumni Center**\$13.5 M**

Following completion of a preplanning study, the project envisioned supports the 19,540 GSF expansion of the Alumni Center, which will maintain the features of the main house while adding pre-function and banquet space for 400, in addition to outdoor terraces and plazas for events. The project will take approximately 12 months to design and 13 months to construct.

Construct Aquatic Center**\$20.9-\$25.65 M**

Following completion of a preplanning study, the project developed supports the construction of a “stretch 25” or a 50 meter pool facility on the southwest corner of William & Mary Hall. The pool will contain a diving well and accommodations for up to 600 spectators. The project will require approximately 10 months to design and 14 months to construct.

Construct Basketball Practice Facility**\$19.6 M**

Following completion of a preplanning study, this project proposes construction of a 46,000 GSF facility on the northwest corner of William & Mary Hall (WMH) to accommodate the programs of Men’s and Women’s Basketball, as well as volleyball, gymnastics, Sports Medicine and academic compliance. The facility will take approximately 12 months to design and 14 months to construct.

**COLLEGE OF WILLIAM & MARY
CASH MANAGEMENT INVESTMENT POLICY**

The Cash Management Investment Policy applies to the investment of operating funds belonging to the College of William & Mary and under the control of the College's appointed Board of Visitors. Under the Restructured Higher Education Financial and Administrative Operations Act, Chapter 4.10 (§23-38.105) of Title 23 of the Code of Virginia, the College, as a covered institution "may invest its operating funds in any obligations or securities that are considered legal investments for public funds in accordance with Chapter 45 (§2.2-4500 et seq.) of Title 2.2. Such institution's governing body shall adopt written investment guidelines which provide that such investments shall be made solely in the interest of the covered institution and shall be undertaken with the care, skill, prudence, and diligence under the circumstances then prevailing that a prudent person acting in a like capacity and familiar with such matters would use in the conduct of an enterprise of a like character and with like aims."

The College's operating funds and balances consist of tuition and fee revenue, expendable gift monies, endowment income, earned interest from investments, grants and sponsored research, rental income from owned properties, income received from external trusts, interest and dividends received on gifted securities, cash balances that reside in College auxiliary accounts and agency accounts, and generally any revenue received by the College of William & Mary that is deemed not to be state money and therefore subject to other mandatory depository restrictions of the State of Virginia. These institutionally ("locally") controlled operating funds are the basis of working capital from which the annual private fund and auxiliary budgets are constructed and they remain invested in short and intermediate term investments until such time as expenditures are drawn. Based on cyclical patterns of when revenue is received and funds subsequently disbursed, the invested balance of operating funds fluctuates monthly within a range between approximately \$50 million and \$100 million.

The Board of Visitors last reviewed its policy on cash management at its meeting on February 6-8, 2013. It is the practice of the College to review at least every three years its operational policies and guidelines to ensure that the authorizations contained therein are in keeping with the current thinking of the Board of Visitors.

All short term and intermediate term investments as disclosed in this policy are currently managed by SunTrust Bank (and its appointed sub-advisory institutions), the depository institution used by the College. Proposed amendments herein have been reviewed and endorsed by investment management professionals at SunTrust and its assigns. If the College were to use different service providers for cash management, these same investment guidelines would apply.

RESOLVED, That the Board of Visitors of the College of William & Mary in Virginia approves the amended guidelines as the Cash Management Investment Policy for institutional funds belonging to the College of William & Mary, superseding any existing policy under the same name.

The Board of Visitors of
The College of William & Mary

Cash Management Investment Policy

Purpose and Scope

The purpose of this Cash Management Investment Policy is to articulate the investment and operational guidelines and authorizations for the non-general operating cash balances and reserves, referred to as local or private funds, under the control and oversight of the Board of Visitors. This policy is crafted to adopt best practices in the prudent management of short **and intermediate**-term investments, complying with laws and regulations applicable to qualified public entities in Virginia. Accordingly, this policy does not cover the College's investment of long-term or endowment assets, general funds managed on behalf of the Commonwealth, proceeds from tax-exempt bond issues, or guidelines in the procurement of banking services. Except for cash in certain legally restricted and special accounts, the College shall consolidate cash and reserve balances to optimize College-wide liquidity management, maximize its investment earnings potential, and to increase efficiencies in the cost of investment management.

Statement of Objectives

- To ensure the safety of funds held in the short-term **and intermediate** investment portfolio.
- To maximize investment return within the constraints of safety of principal and of maintaining sufficient liquidity to meet all operating needs and obligations that may be reasonably anticipated.

Governing Authority: Laws and Regulations

This Cash Management Investment Policy shall be governed by existing law and regulations that apply to the investment of public funds, specifically the *Virginia Security for Public Deposits Act*, Chapter 44 (§2.2-4400 et seq.) of Title 2.2 of the Code of Virginia, as amended; the *Investment of Public Funds Act*, Chapter 45 (§2.2-4500 et seq.) of Title 2.2 of the Code of Virginia, as amended; the *Uniform Prudent Management of Institutional Funds Act*, Chapter 11, (§64.2-1100 et seq.) of Title 64.2 of the Code of Virginia, as amended; and **Chapter 5 (§23-44.1) of Title 23** of the Code of Virginia, as amended, concerning the College's investment of endowment income, gifts, standards of care, liability, and exemption from the Virginia Public Procurement Act. Further authority as it relates to the investment of operating fund reserves and balances of or held by the College is delegated to the Board of Visitors in a certain Management Agreement dated March 30, 2009, by and between the Commonwealth of Virginia and the Rector and Board of Visitors of the College of William and Mary, pursuant to the Restructured Higher Education Financial and Administrative Operations Act of 2005. **Delegated authority to restructured institutions is further addressed by the General Assembly in §4-9.03 Level III Authority of the 2014-16 Appropriations Act passed on June 23, 2014: "The**

Management Agreements negotiated by the institutions contained in Chapters 675 and 685 Acts of the Assembly shall continue in effect unless the Governor, General Assembly, or the institutions determine that the Management Agreements need to be renegotiated or revised.”

Standards of Care

The College will have the option to manage its non-general short **and intermediate** term operating cash reserves internally, only when necessary and feasible, and/or preferably through the exercised care of professional investment managers.

The College shall rely on the “prudent person” standard in the exercised care of its investments. Accordingly, as stated in the *Investment of Public Funds Act*, Chapter 45 (§2.2-4514 et seq.) of Title 2.2 of the Code of Virginia, investments shall be made “with the care, skill, prudence, and diligence under the circumstances then prevailing that a prudent person acting in a like capacity and familiar with such matters would use in the conduct of an enterprise of a like character and with like aims.” College employees and officials who exercise proper due diligence in following this investment policy according to the “prudent person” standard shall be relieved of personal responsibility for an individual security’s credit risk or market price changes. When investments are made in conformity with *Investment of Public Funds Act*, Chapter 45 of the Code of Virginia, §2.2-4516 states that “no treasurer or public depositor shall be liable for any loss therefrom in the absence of negligence, malfeasance, misfeasance, or nonfeasance on his part or on the part of his assistants or employees.” Furthermore, when deposits are made in conformity with the *Virginia Security for Public Deposits Act*, Chapter 44 of the Code of Virginia, §2.2-4410 states that “no official of a public depositor shall be personally liable for any loss resulting from the default or insolvency of any qualified public depository in the absence of negligence, malfeasance, misfeasance, or nonfeasance on his part or on the part of his agents.”

Members of William and Mary community are required to adhere to a Code of Ethics Policy which was passed by the Board of Visitors on April 17, 2009. College personnel involved with the investment of funds shall be governed by these ethical guidelines and furthermore shall take meaningful effort to refrain from actions or activities that would have the appearance of violating the nature and intent of the College’s standards of ethical behavior.

Upon retention, external managers will be given a copy of this Cash Management Investment Policy and shall be required to maintain compliance with all directives stated herein. External managers shall be required to have a Code of Ethics or similar governing rules of ethical behavior that shall be disclosed to the College prior to their formal engagement. Failure to maintain compliance with these governances may result in dismissal and other potential measures of recourse.

Approved Investments

- U.S. Treasury Bills
- U.S. Treasury Notes and Bonds
- U.S. Federal Agency Obligations (including mortgage backed securities)

- Money market mutual funds (no-load open-ended investment funds) which invest in U.S. Treasury Bills, Notes, Bonds, Federal Agency Obligations, and high quality Corporate Obligations, provided such funds are registered under the Federal Investment Company Act of 1940 and rated at least "AAm" or the equivalent by a Nationally Recognized Statistical Rating Organization ("NRSRO") and properly registered for sale in Virginia under the Securities Act (§13.1-501 et seq.) of the Code of Virginia. Money market funds must comply with the diversification, quality, and maturity requirements of Rule 2a-7, or any successor rule, under the Federal Investment Company Act of 1940, provided the investments of such funds are restricted to investments otherwise permitted by the Code of Virginia.
- Bond mutual funds, commingled investment funds, and bank common trust funds (all classified as no-load open or closed-ended investment funds) which invest in high quality government (USD-denominated securities) and high quality corporate obligations. Funds must have with individual an average effective maturities maturity no longer than 5 years and an average portfolio duration no longer than 2 years. High quality corporate obligations shall carry a rating of at least "A" The average credit quality for a fund will carry a rating of "A" or better by two rating agencies, one of which shall be either Moody's Investors Service, Inc., or Standard & Poor's, Inc. Funds must be registered under the Federal Investment Company Act of 1940 and be properly registered for sale in Virginia under the Securities Act (§13.1-501 et seq.) of the Code of Virginia. Investments in these funds are restricted to investments otherwise permitted by the Code of Virginia for qualified public entities.
- Bankers' Acceptances that are issued by domestic banks or domestic offices of foreign banks (in USD), which are eligible for purchase by the Federal Reserve System with a maturity of 180 days or less. The issuing corporation, or its guarantor, must have a short-term debt rating of no less than "A-1" (or its equivalent) by at least two NRSROs. The amount invested in any single bank will not exceed 5% of the total funds available for investment (based on book value on the date of acquisition).
- "Prime quality" Commercial Paper with a maturity of 270 days or less and a short-term debt rating of no less than "A-1" (or its equivalent) by at least two of the NRSROs at time of purchase. Issuing corporations must be organized and operating under the laws of the United States or any state thereof and have a minimum net worth of \$50 million. The net income of the issuing corporation, or its guarantor, must have averaged at least \$3 million per year for the previous five years. All existing senior bonded indebtedness of the issuer, or its guarantor, must be rated "A" or better by at least two NRSROs.
- High quality corporate notes and obligations rated at least "Aa" "A" by Moody's Investors Service, Inc., and rated at least "AA" "A" by Standard & Poor's, Inc., and a maturity of no more than five years (as allowed by the Code of Virginia).

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- High quality asset-backed securities with a duration of no more than five years (as allowed by the Code of Virginia) and a rating of no less than “AAA” by two NRSROs, one of which must be either Standard & Poor’s, Inc. or Moody’s Investors Service, Inc.
- **Negotiable** Certificates of Deposit and **Negotiable** Bank Deposit Notes of domestic banks and domestic offices of foreign banks, lawfully authorized to do business in Virginia, with a rating of at least “A-1” by Standard & Poor’s, Inc. and “P-1” by Moody’s Investors Service, Inc., for maturities of one year or less, and a rating of at least “AA” by Standard & Poor’s, Inc. and “Aa” by Moody’s Investors Service, Inc., for maturities over one year and not exceeding five years. **Negotiable** Certificates of Deposit and **Negotiable** Bank Deposit Notes with any institution other than the College’s primary depository shall not exceed levels of provided insurance by the Federal Deposit Insurance Corporation.
- Time Deposits in any federally insured bank or savings institution that is qualified by the Virginia Treasury Board to accept public deposits. Deposits in any such institutions shall be at levels whereby the College’s money shall remain fully insured by the Federal Deposit Insurance Corporation (or collateralized in full with U.S. Government or agency securities by the College’s primary depository as assets belonging to a public entity covered under the *Virginia Security for Public Deposits Act*, Chapter 44 (§2.2-4400 et seq.) of Title 2.2 of the Code of Virginia).
- Investment in overnight repurchase agreements. Certain conditions for investment shall apply:
 - When investments are made in overnight repurchase agreements, the College will require that its investments be 102% collateralized by U.S. Treasury and Agency obligations, and that this collateral be delivered to the College’s custodian bank and identified according to Uniform Commercial Code book entry procedures on the custodian’s books as property belonging to the College of William & Mary;
 - A master repurchase agreement or specific written repurchase agreement shall govern the transaction;
 - The securities are free and clear of any lien;
 - Qualified counterparties must be either member banks of the Federal Reserve System having total assets of more than \$10 billion and that are among the 50 largest commercial banks in the U.S.; or, non-bank dealers ~~who~~ that are designated by the Federal Reserve Bank of New York as primary dealers in government securities **and report daily to the Federal Reserve Bank of New York;**
 - The counterparty must have a long-term credit rating of at least “AA” or the equivalent from an NRSRO, **a short-term credit rating of at least “A-1” or the equivalent from an NRSRO,** been in business for at least 5 years, and be reputably known among market participants.

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- State and Municipal Obligations consisting of bonds, notes, and other general obligations of any state or municipal authority organized within the United States upon which there has been no default and having a rating of at least “AA” by Standard & Poor’s, Inc., and “Aa” by Moody’s Investors Service, Inc., and maturing within two years of the date of purchase. **Purchase of State and Municipal Obligations must comply with guidelines and restrictions found in the Code of Virginia.**
- Local Government Investment Pool (LGIP). This highly diversified money market fund, administered by the Treasury Board of the Commonwealth of Virginia, referenced in Chapter 46 (§2.2-4600 et seq.) of Title 2.2 of the Code of Virginia (*Local Government Investment Pool Act*), offers public entities in Virginia a convenient and cost effective means to invest short-term monies adhering to all investment guidelines required by the Code of Virginia. The LGIP is rated “AAAm” by Standard & Poor’s, Inc. (as of June 30, 2015) and must be rated “AAAm” by Standard & Poor’s, Inc. for the College’s investment purposes.

Diversification of Approved Investments

The maximum allowable percentage of the College’s short-term portfolio permitted in each single asset category is as follows along with the maximum limits allowed in the Code of Virginia:

	<u>CWM</u>	<u>Code VA</u>
- U.S. Government securities and its agencies	100%	100%
- Repurchase Agreements with Required U.S. Gov’t Collateral	100%	100%
- Money Market Mutual Funds (100% U.S. Gov’t & Agencies)	100%	100%
- Money Market Mutual Funds (Diversified)	35%	100%
- Commingled Investment Funds or Bank Common Trust Funds	50%	100%
- Bond Mutual Funds (100% U.S. Gov’t & Agency Obligations)	100%	100%
- Bond Mutual Funds (Diversified)	50%	100%
- “Prime Quality” Commercial Paper (A-1 P1)	35%	35%
- High quality Corporate Debt (Aa AA ratings by Moody’s and S&P)	50%	100%
- Bankers’ Acceptances	35%	100%
- Certificates of Deposit and Bank Deposit Notes	35%	100%
- Insured and/or collateralized bank deposits	50%	100%
- Asset-backed securities	35%	100%
- State and Municipal Obligations	20%	100%
- State run LGIP	100%	100%

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Page 7 of 11Prohibited Investments

Without the expressed consent of the Board of Visitors, evidenced by signatory authorization from the **Senior** Vice President for Finance **and Administration**, the following investments are prohibited:

- Floating rate notes with maturities under two years that have any embedded leverage or option ability (e.g., caps, floors, multiple reset features, etc.), however, U.S. Agency adjustable rate mortgage backed securities (ARMs) are permitted investments.
- Floating rate notes with maturities over two years
- Structured notes
- Swaps
- Other derivatives
- High Yield and Distressed Debt
- Reverse repurchase agreements
- Borrowing funds for the purpose of reinvesting the proceeds of such borrowing
- Investing in any security not specifically permitted by this Policy

Where written consent is given for investment in any of these categories, the Board of Visitors will require the investment manager to adhere to specific safeguards.

Investment Limits

No more than 5% of the portfolio shall be invested in specifically held securities of any single issuer. A single issuer shall incorporate all debt issued by parent, subsidiary, and affiliated companies, thereby limiting investment exposure to any one holding company or entity.

The following exceptions to this 5% single issuer limit shall apply:

- | | |
|--|--------------|
| - U.S. Treasury obligations | 100% maximum |
| - Money market funds of only U.S. Gov't and Agency obligations | 100% maximum |
| - Bond mutual funds of only U.S. Gov't and Agency obligations | 100% maximum |
| - State run LGIP | 100% maximum |
| - Each Federal Agency (held as discrete investments) | 50% maximum |
| - Diversified money market and mutual funds | 35% maximum |
| - Other types of mutual and commingled funds | 35% maximum |

There will be no more than ~~\$15~~ **\$20** million invested in a Core Balance strategy, separate from that of cash required for the College's immediate operating needs and liquidity requirements. This Core Balance strategy will be a part of the overall short-term investment portfolio and similarly follow allocation guidelines for approved and prohibited investments, albeit with longer average maturity and duration limits.

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The direct purchase of discrete foreign securities that are not denominated in U.S. dollars will be prohibited in any College account set up under these guidelines for short and intermediate term investment. U.S. dollar denominated sovereign and supranational bonds (Yankee bonds) with one year or less of maturity will be permitted for investment. Should a company whose security is held in a short or intermediate term investment account be acquired by a foreign company, the security may remain in the portfolio as long as it is determined by the portfolio manager that it is in the best economic interest of the College to hold the security for the short term. Exempt from this prohibition on foreign securities are high quality money market and commingled funds which may have foreign securities as a small component of the fund.

Security Downgrades

In the event that any security or fund held in the investment portfolio is downgraded below the rating requirement required by this policy, the security or fund shall be sold within 60 days of such downgrade.

Risk Parameters

Investment of the College's operating cash will be undertaken by managing those risks that can affect the value of investments. Investment firms engaged by the College will be required to continuously monitor the various types of risk inherent in a diversified institutional investment portfolio.

Interest rate risk will be controlled primarily by investing in bonds with various maturities. Controlling the portfolio's average maturity and duration will also mitigate the negative effects of interest rate risk. At no time will any individually owned security have an effective and/or legal maturity longer than 5 years. **An overnight investment operating account will be used in conjunction with a sweep vehicle to/from the College's main depository account. The short-term portfolio used for liquidity management, exclusive of the Core Balance strategy, shall maintain a weighted average effective maturity not to exceed 24 months and an average duration not to exceed 15 months.** Core Balance investments, when managed separately in a discrete portfolio, shall maintain a weighted average effective maturity not to exceed 60 months and an average duration not to exceed 24 months.

Credit risk is managed primarily by limiting the opportunity set to certain approved high quality investments as reflected above that conform to Virginia statutes. Rating agencies, herein referred to as NRSROs, such as Moody's and Standard & Poor's, will be used as a measure to evaluate and monitor credit risk of held investments.

Counterparty risk will be continually monitored to ensure the continued financial strength and investment quality of the issuer.

Liquidity Constraints

Without the prior approval of the Senior Vice President of Finance and Administration of the College, no investments in specific securities shall be made where maturities exceed 3 years (where 5 years is the maximum permitted by this policy). Weighted average life will be used as a proxy for maturity date for mortgage backed securities. The portfolio shall maintain adequate liquidity to ensure the College's ability to meet its operating requirements. At all times, the College shall maintain sufficient liquidity on an overnight basis to ensure clearance of its known payments and unanticipated presentment of checks. The College and its engaged investment manager(s) shall constantly monitor cash levels and maintain a portfolio structure that allows sufficient liquidity within time periods of a day, week, month, and six-months, taking into consideration fluctuating cash levels associated with cyclical revenue and expenditure patterns.

Authorized Personnel and Delegated Authority

The Senior Vice President for Finance and Administration of the College or such person(s) he/she designates in writing is (are) authorized to make investment decisions under this policy for the College of William & Mary, including the selection and contractual engagement of professional investment firms that would adhere to the guidelines presented herein and that of generally accepted prudent fiduciary practices.

The Senior Vice President for Finance and Administration and certain members of his/her staff shall also be responsible for maintaining internal controls that appropriately safeguard the investable assets of the College consistent with this policy and the permissions given for types of investment and engagement of external professional management. Professional investment management firm(s) engaged by the College MUST be registered with the Securities and Exchange Commission under the Investment Advisors Act of 1940, showing proof of such prior to their hiring. Before an organization can provide investment management services to the College, it must confirm in writing that it has reviewed this Policy and is able to fully comply with all requirements. Furthermore, the organization must submit the following materials:

- Proof of its registration with the SEC under the Investment Advisers Act of 1940;
- An annual updated copy of Form ADV, Part II;
- Proof of its registration to conduct business in the Commonwealth of Virginia;
- Demonstrable evidence in providing like services under the *Investment of Public Funds Act*, Chapter 45 of the Code of Virginia; and
- Confirm use of only qualified security brokers/dealers. To achieve qualification, the broker/dealer should be financially stable and have the ability to effectively execute buy and sell transactions. The engaged manager(s) will maintain a list of qualified brokers/dealers who meet the criteria of this Policy; and
- Confirm that procedures for best execution will always be followed and that soft dollar commissions or credits for College asset trades will not be collected or otherwise utilized in the execution of investment services

Reporting Requirements

Engaged investment managers shall be required to prepare and deliver comprehensive monthly accounting and analytical reports to the College that provide the following information:

- Monthly buy and sell transactions;
- Monthly realized gains and losses on sales;
- Month-end holdings that show amortized book value, maturity date, yield-on-cost, market value and other features deemed relevant;
- Monthly transactions that account for income, fees and disbursements, purchase of accrued income, and other relevant activity; and,
- Monthly performance of asset categories and the aggregate portfolio.

Engaged investment managers shall be required to prepare and deliver comprehensive quarterly investment reports to the College that provide the following information:

- Summary of recent market conditions, economic developments, a forecast of future economic activity, and an assessment of how the investment manager fared in the investment of the College's funds;
- A comprehensive quarter-end holdings report that further shows the calculated total rate of return for the quarter and year-to-date versus appropriate benchmarks; and,
- Any areas of policy concern warranting discussion with College officials, as in the case of recommended revisions.

Performance Benchmarks

Investment performance of the portfolio shall be monitored and evaluated using various individual benchmarks that have similar maturity, duration, and risk characteristics of those investments held in the portfolio. Overall portfolio performance shall be evaluated on an ongoing basis by management, taking into consideration asset allocation, quality and safety factors, maturities and implied risks, and various external market factors.

Accordingly, the College shall use the 91 Day Treasury Bill Index as the primary benchmark in review of investment performance and may use other benchmarks such as the Merrill Lynch 3-month and 6-month Treasury Bill Indexes and/or the Barclays Capital 3-6 Month Treasury Bill Index for purposes of comparability.

Performance Review and Evaluation Requirements

External managers shall be formally evaluated by management at least on an annual basis according to certain criterion that was used in the process of engagement as well as any other more contemporaneous factors that should be noted in a formal evaluation. An overall rating of anything less than satisfactory will be cause for dismissal.

Monitoring the Cash Management Investment Policy

The Board of Visitors or its designated subcommittee thereof shall review this policy at least once every three years in order to ensure that the governances, provisions, and guidelines stated herein appropriately reflect the perspective and risk tolerances of the Board with respect to current market conditions. Management will inform the Board of any violations to this policy, discussed below, and extenuating results.

Occurrences of Non-Compliance with the Policy and Process of Resolution

Compliance with stated guidelines in this policy is a requirement. Violations of any kind will require full explanation of the event. Management will evaluate the severity of the violation, the circumstances by which it occurred, and the manager's corrective response. Management will then decide what recourse to pursue in dealing with the manager. Should the infraction be serious enough, the manager will be immediately dismissed. Multiple or recurring infractions may warrant immediate dismissal. Lesser infractions will also be documented and discussed with the manager's senior representatives. Resolution and types of restitution will be discussed with the manager depending on the severity of the violation.

**COLLEGE OF WILLIAM AND MARY
CORPORATE RESOLUTION TO TRANSACT BUSINESS AND CONFIRM
AUTHORIZED BUSINESS AGENTS FOR THE COLLEGE OF WILLIAM AND MARY**

On November 20, 2015, the Board of Visitors of The College of William and Mary in Virginia met and passed revisions to the *Bylaws* to clarify the power of certain officers of the College to transact business in the name of the College.

Article X, Section C. of the revised *Bylaws* states:

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.

BE IT RESOLVED, That the following statement of certification will accompany this resolution, requiring signature by the Secretary of the Board of Visitors attesting to its validity and correctness:

I, _____, Secretary of the Board of Visitors of The College of William and Mary in Virginia, do hereby certify that the foregoing is a true and correct copy of the Resolution approved by the Board of Visitors of said College at a duly constituted meeting held in the City of Williamsburg, Virginia, on the 20th day of November, 2015, at which a quorum was present and acting throughout, and that said resolution appears in the minutes of said meeting, and that the same has not been rescinded or modified and is now in full force and effect. I further certify that said organization is duly organized and existing, and has the power to take the action called for by the foregoing resolution. I further certify that W. Taylor Reveley III is President and Samuel E. Jones is Senior Vice President for Finance and Administration of The College of William and Mary in Virginia.

Given under my hand and official seal of The College of William and Mary in Virginia
on the _____ day of _____.

_____, Secretary

RICHARD BLAND COLLEGE

DELEGATE LASHRECSE D. AIRD

Lashrecse D. Aird, Executive Assistant to the President and Board Liaison at Richard Bland College, was elected to the House of Delegates in November 2015 to represent the 63rd District, filling the seat that newly elected Senator Rosalyn R. Dance left vacant. At 29-years-old, Delegate Aird is the youngest woman ever elected to the House of Delegates.

From 2007 to 2012, Ms. Aird served as Senator Dance's legislative assistant in the House of Delegates. Ms. Aird has said that one of the most important things she learned during her time with Delegate Dance was about respecting people and relationship building.

Holding a B.A. from Virginia State University, Delegate Aird's discipline is Policy and Public Relations. She has completed coursework at Virginia Commonwealth University toward a Master's in Public Administration and is a 2010 graduate of the VCU Minority Political Leadership Institute.

Delegate Aird's professional and civic lives reflect her ideology that the struggle for equality begins with political freedom and education. Since graduating from college, she has dedicated countless volunteer hours to educating community youth, college students and citizens of the Commonwealth about local, state and national issues.

An appointee to the Governor's Council on Women and the City of Petersburg Planning Commission, Delegate Aird has recently earned a distinguished place as a member of the University of Virginia's Sorensen Institute for Political Leadership.

Delegate Aird is Chair of the Petersburg Democratic Committee, Chair of the 16th Senate District Nominating Committee, and the Petersburg Chapter of Delta Sigma Theta Sorority's the Political Awareness and Involvement Committee. Additionally, she is Chair of the University Relations Committee for The Ladies in Red Chapter of the Virginia State University Alumni Association.

In 2014, Delegate Aird was among a select group of individuals invited by President Barack Obama to attend a private reception commemorating the Affordable Care Act in the Rose Garden at the White House.

Delegate Aird has been recognized with numerous awards and honors, including being named a Top Ten Leader under Forty by the Virginia Leadership Institute, Who's Who among Students in American Universities and Colleges for Virginia Commonwealth University, and the Young Trojan Distinguished Alumni Award from Virginia State University. A resident of Petersburg, Delegate Aird is the proud wife of Blaine Aird, and mother to Blake and Blaine.

BE IT RESOLVED, That the Board of Visitors of the College of William and Mary congratulates Delegate Lashrecse D. Aird, and extends best wishes for continuing and creative work in the 2016 General Assembly session, and throughout her legislative career.

APPROVAL OF CONTINUED APPOINTMENT
AND AMENDED CONTRACT OF EMPLOYMENT

The Board of Visitors of The College of William and Mary in Virginia formalized the appointment of the 27th College President in the form of a contract of employment adopted on November 21, 2008.

W. Taylor Reveley III has served the College of William and Mary as its President with honor and distinction. The Board of Visitors believes it is in the best interest of the College to ensure the continued leadership of President Reveley, and expresses its appreciation to him for his outstanding service to the College of William and Mary and to the Commonwealth of Virginia.

THEREFORE, BE IT RESOLVED, That the Board of Visitors of the College of William and Mary hereby delegates to the Rector of the College authority to amend the contract with President Reveley dated February 7, 2014, to adjust the provisions and duration of the Agreement through June 30, 2018.

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

2016

February 3-5 (Charter Day February 5)

April 20-22 (Commencement weekend May 13-14)

September 21-23

November 16-18 (11/17 half day at Richard Bland College)

FEBRUARY 2016