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William & Mary Faculty Handbook
( www.wm.edu/about/administration/provost/documents/facultyhandbookAugust2008.pdf )
College of William & Mary
Virginia Institute of Marine Science
School of Marine Science

By-laws*

of the

Virginia Institute of Marine Science/School of Marine Science

Gloucester Point, VA

September 18, 2009

* Revisions to By-laws of VIMS approved by The Faculty by electronic vote after the Faculty meeting on December 22, 2004, and after review by the Procedural Review Committee on December 16, 2003, and modified and approved by the VIMS Faculty Council November 12, 2004. The 2004 version was approved by the PRC/Personnel Policy committee, April 9, 2008. A second revision of the Bylaws of the VIMS Faculty was approved by Faculty Council March 4, 2009, with final approved by The Faculty by voice vote at the Faculty Meeting on March 25, 2009. Approved by the William & Mary Procedural Review Committee and Personnel Policy Committee on September 3, 2009. Approved by the William & Mary Board of Visitors on September 18, 2009.
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ARTICLE 1: Faculty Definitions.

Section 1: The Virginia Institute of Marine Science Faculty.

There exists a Faculty of the Virginia Institute of Marine Science ("VIMS"), within The College of William & Mary ("The College"), known hereafter as "The Faculty". Members of The Faculty hold appointments as Faculty of The College of William & Mary in the Virginia Institute of Marine Science. These appointments require approval by the Board of Visitors of The College. It is the responsibility of The Faculty to promote the welfare of the institution, to assist the Dean and Director (hereafter “Dean/Director”) in the successful pursuit of quality and excellence in the institution's tripartite mission of research, education, and advisory service, and to promote the creation, maintenance, and protection of a University environment conducive to the growth of scholarship, creativity, learning, teaching, research, service, and respect for human dignity and rights. There exists within the Virginia Institute of Marine Science an academic program conferring graduate degrees in marine science in The College of William & Mary, known as The School of Marine Science (SMS). The mission of the SMS is higher education and, in particular, graduate education in the marine sciences. The Dean/Director is also the Dean of the SMS. Faculty appointments include tenure-eligible and tenured Faculty, as well as tenure ineligible Faculty in any series with equivalent rank and qualifications that has been duly approved by the Board of Visitors of The College. Faculty holding the title "Emeritus" are non-voting members of The Faculty. Tenured and tenure-eligible Faculty have the principal responsibility for the academic programs of the SMS.

The Faculty consists of those individuals duly appointed through approved policies and procedures for search and appointment to The Faculty. The Faculty is organized administratively in Departments that reflect the interdisciplinary nature of marine science, and support the tripartite mission of VIMS as defined in the Code of the Commonwealth of Virginia, these Bylaws, The Faculty Handbook of The College, and the Bylaws of the Board of Visitors of The College of William & Mary. The Department organization is determined by the Dean/Director in consultation with The Faculty. Chairpersons for each Department are elected by the Department Faculty and appointed by the Dean/Director. The Faculty reports through the designated Department Chairs to the Dean/Director. The Chair reports regarding research matters through the Director for Research and Advisory Services, and regarding educational matters relating to the academic and graduate degree programs through the Dean of Graduate Studies. To insure uniformity in the academic program across departments, an Academic Council has been established by the Faculty. The Academic Council advises the Dean/Director on matters related to the academic and degree programs and reports to the Faculty Council at its regular meetings.

The Faculty participates in generally accepted forms of governance found at institutions of higher learning in the Commonwealth of Virginia and this country. Faculty governance is accomplished through a representative body known as the Faculty Council, whose members...
receive their authority from The Faculty. The Council's elected Representatives consult with and advise the Dean/Director on matters of concern to The Faculty and the operations of VIMS. The Faculty Council also responds to specific requests for information and advice made by the Dean/Director, the Director for Research and Advisory Services, or the Dean of Graduate Studies.

ARTICLE 2: Faculty Rights and Responsibilities.

Section 1: Faculty Rights.

The Faculty enjoy all of the rights and privileges afforded them by The College as are contained in the most recent edition of the Faculty Handbook approved by The Board of Visitors of The College, and the Code of Virginia as it relates to the various faculties of institutions of higher education in the Commonwealth.

Section 2: Faculty Responsibilities.

With the Dean/Director, The Faculty are jointly responsible for the tripartite mission of research, advisory service, and education. They advise the Dean/Director and conduct activities in research, advisory service, and education that enhance and support the institutional mission and the various mandates given it in the Code of Virginia.

It is recognized that individual Faculty may emphasize one element of the tripartite mission as their principal activity and commitment, but it is understood that each Faculty member will engage to some degree in all three elements of the institutional mission. In addition, tenured and tenure-eligible Faculty are expected to demonstrate a commitment to the academic and degree programs of the SMS through teaching, mentoring, and service to the academic and degree programs.

ARTICLE 3: Administrative Officers of the Faculty.

Section 1: The Director and the Dean (Dean/Director).

The Dean/Director is the chief administrative officer of VIMS and SMS, which are under the administrative, and management control of the Board of Visitors of The College. The Dean/Director must meet the requirements for appointment to The Faculty and will hold an appointment within an appropriate department of VIMS. He or she is nominated by the President of The College and appointed by the Board of Visitors of The College for an indefinite term. For matters relating to the statutory responsibilities of VIMS, the Dean/Director reports to the President of The College. For matters relating to the affairs of the SMS, the Dean/Director reports to the Provost of The College. The Dean/Director is responsible for the development and administration of the programs of research, advisory service, and education, for budgetary
planning and the allocation of funds, for assignment of space and facilities, for Faculty and staff appointments and development, and for all other matters related to the missions and mandates of VIMS. The Dean/Director is also responsible for the instructional programs in marine science, for scheduling of classes and examinations, for the assignment of space related to the instructional program, and for all other matters related to the curriculum, students, and Faculty. The Dean/Director is assisted by the Director for Research and Advisory Services, the Dean of Graduate Studies, and the Departmental Chairs.

Section 2: Director for Research and Advisory Services.

The Director for Research and Advisory Services assists the Dean/Director in the administrative duties of VIMS and serves as the senior administrative officer for the research, advisory service, missions and mandates of VIMS under the Dean/Director. The Director for Research and Advisory Services must be tenured and will hold an appointment within an appropriate Department of VIMS. He or she is nominated by the Dean/Director and serves at the Dean/Director's discretion. This position may be filled from among The Faculty or from outside the institution, in which case the search will be in accordance with policies and procedures established for searches in consultation between the Dean/Director and the Faculty Council. The appointment requires approval by the President and the Board of Visitors of The College. He or she administers the affairs of VIMS during the temporary absence of the Dean/Director. The Director for Research and Advisory Services consults with and works with the Dean of Graduate Studies in order to ensure close coordination of the programs of VIMS and the instructional programs of the SMS. The Chairs of the Departments report to the Director for Research and Advisory Services on all matters concerning the missions and mandates of VIMS and assist in their execution.

Section 3: Dean of Graduate Studies.

The Dean of Graduate Studies assists the Dean/Director in the administrative duties of the academic programs, and serves as the senior Faculty member and principal administrative officer of the SMS under the Dean/Director. The Dean of Graduate Studies must be tenured and will hold an appointment within an appropriate Department of VIMS. He or she is nominated by the Dean/Director and serves at the discretion of the Dean/Director. This position may be filled from among The Faculty or from outside the institution, in which case the search will be in accordance with policies and procedures established for searches in consultation between the Dean/Director and the Faculty Council. The appointment requires approval by the President and the Board of Visitors of The College. In the event of a temporary absence of both the Dean/Director, and the Director for Research and Advisory Services, the Dean of Graduate Studies serves as acting Dean/Director. The Dean of Graduate Studies consults and works with the Director for Research and Advisory Services in order to ensure close coordination of the instructional programs of the
SMS and the programs of VIMS. The Chairs of the Departments report to the Dean of Graduate Studies on all academic matters related to the instructional programs, and assist in their execution.

Section 4: Department Chairs.

The Chair of a Department is elected by the Department Faculty and appointed by the Dean/Director, effective July 1, for a term not to exceed three years, and serves at the discretion of the Dean/Director. Department Chairs must be tenured and meet the requirements for appointment to The Faculty. The Chairs provide leadership, guidance and vision within their departments. Department Chairs are responsible for the development and administration of departmental budgets related to the programs and missions of VIMS and the SMS, for the allocation of resources to those programs within their respective Department, for the planning and direction of those programs, and for the professional development of Faculty and staff in the Department. The Department Chairs are responsible for conducting annual merit reviews of Faculty in their department according to the policies, procedures and criteria approved by the Faculty. These procedures have been approved and reviewed by the Faculty, the Dean/Director, the Procedural Review Committee of the College and the Personnel Policy Committee of The College. In meeting these responsibilities, the Chair will ensure the full participation of the departmental Faculty.

ARTICLE 4: Faculty Governance.

Section 1: General Meetings of The Faculty.

1.1: Presiding Officer
The Dean/Director presides at all regular and special meetings of The Faculty. In the absence of the Dean/Director, the presiding officer is determined by the succession defined in Article 3, Sections 2 and 3.

1.2: Meeting Schedule
Regular meetings of The Faculty will be held at least twice annually in spring and fall. The spring meeting of each year will include the election of institutional committee members and representatives to College-wide committees and the William & Mary Faculty Assembly. A schedule of regular meetings of The Faculty will be published in January of each year by the Dean/Director.

1.3: Agendas
The Secretary of the Faculty Council prepares the agenda for meetings of The Faculty. Items may be placed on the agenda for regular meetings by the Dean/Director, by any committee of The Faculty, or by any two Faculty members unless otherwise specified in these bylaws. Items to be
placed on the agenda must be submitted to the Secretary at least fifteen (15) working days prior to the next regular meeting. The Secretary shall distribute the agenda to each member of The Faculty no fewer than ten (10) working days prior to the meeting.

1.4: Special Meetings
Special meetings of The Faculty may be called by the President or the Provost of The College, the Dean/Director, the Faculty Council, the Academic Council, by any committee elected by The Faculty, or upon written petition by at least twenty five (25) percent of the membership of The Faculty. Such special meetings will convene within five (5) working days after the tender of such a request to the Secretary. A fixed agenda will be distributed to The Faculty with the notice of the meeting. Special meetings and voting of the Faculty may be conducted electronically, through email or computer (including web-based) conferencing.

1.5: Quorum
A majority of all voting members of The Faculty constitutes a quorum at both regular and special meetings. Members of The Faculty on leaves of absence are not counted when determining a quorum. Electronic meetings may be conducted without making a determination as to whether a quorum exists, but for any motion voted upon electronically, the vote will be valid only if a quorum participated in the vote, as determined by tabulating the votes.

1.6: Meeting Protocols
Meetings of The Faculty are open to attendance by all members of the VIMS faculty, by individuals invited by The Faculty, and by non-Faculty members of any committee of The Faculty. Emeritus Faculty are non-voting but are granted the privilege of the floor at all meetings of The Faculty. Non-Faculty members may be granted the privilege of the floor at the discretion of the presiding officer. Meetings of The Faculty may enter into closed session for reasons of confidentiality, by a majority vote of those present and voting, and in accordance with procedures established for meetings of the Board of Visitors of The College.

A simple majority of members present shall be sufficient to pass or reject a motion unless otherwise specified in these bylaws. Voting on motions is normally by voice or by show of hands. However, five (5) members may require a roll call vote or secret ballot upon any motion. There are no proxy votes.

1.7: Representatives to the Faculty Assembly of the College
Representatives to The Faculty Assembly of The College are elected at the regularly scheduled spring meeting of The Faculty. The number of VIMS representatives is determined by policies and procedures established by The Faculty Assembly of The College. One of the Representatives will always be the Chair of the Faculty Council (Article 4, Section 2.3), and the other will always be the Chair of the Academic Council (Article 4, Section 3.5).
Section 2: The Faculty Council.

To conduct the affairs of The Faculty effectively, a representative body known as the Faculty Council exists. The Faculty Council shall serve as consultant and advisor to the Dean/Director. The Faculty Council shall serve as the appropriate forum for the discussion of the concerns and interests of The Faculty both with regard to the Institute and The College. The Faculty conveys to the Faculty Council the powers to act on its behalf, and reserves the right to periodically review the operation of the Faculty Council.

The purpose of the Faculty Council is to provide an effective voice in deliberation about and establishment of policies, and to enter into a partnership of shared responsibility and cooperation among The Faculty, administration, and other members of the VIMS community and The College of William & Mary. The Faculty Council is thus a forum for ensuring adequate and productive communication between The Faculty and the Administration. The Faculty Council may not impinge on the responsibilities specifically accorded to the Academic Council (Article 4, Section 3).

2.1: Functions.

Actions of the Faculty Council may not contravene any provisions of Virginia law or the policies of The College set forth by The Board of Visitors. The Faculty Council is further governed and bound by the most recent version of the Faculty Handbook of The College as approved by the Board of Visitors. According to procedures and criteria approved by The Faculty, the Faculty Council performs such functions as may be entrusted to it by The Faculty and considers matters of concern to The Faculty, conveying The Faculty position in the form of recommendations to the Dean/Director. The functions of the Faculty Council include, but are not necessarily limited to, the following:

2.1.1: To consider issues relating to the affairs of The College that may be of legitimate concern to The Faculty;

2.1.2: To advise the Dean/Director on matters affecting the welfare of the institution, including the allocation of resources;

2.1.3: To participate in the formulation of research, advisory service, and education policies;

2.1.4: To review and recommend to the Dean/Director such policies, programs, and other matters as the administration, department faculties, and individual Faculty members may propose;

2.1.5: To provide liaison from The Faculty to the Board of Visitors of The College through
representation to The Faculty Assembly of The College and to report to The Faculty on the actions of the Board of Visitors;

2.1.6: To elect officers and establish ad hoc and special committees as necessary to carry out its charge and responsibilities;

2.1.7: To share responsibility with the administration for maintenance and enhancement of the stature and effectiveness of VIMS, the SMS, and The College;

2.1.8: To review periodically, policies and procedures for searches, appointments, promotions, and tenure in consultation with The Faculty and the Dean/Director;

2.1.9: To develop policies and procedures for establishing committees for the evaluation of administrators in consultation with The Faculty and the Dean/Director;

2.1.10: To participate, via the Faculty Council Chair, with the Dean/Director, the Director for Research and Advisory Services, the Dean of Graduate Studies, the Director for Planning and Budget, and the department chairs in the biennial budget planning process. The Chair of the Faculty Council is responsible for conveying actions regarding the biennial budget planning process to the Faculty Council.

2.2: Relationship to the Dean/Director.

The Faculty Council may request reports from the Office of the Dean/Director on matters within the Faculty Council’s purview for distribution either to its committees, the Faculty Council as a whole, or The Faculty. At least once each calendar year, at either a regular or special meeting of the Faculty Council, the Dean/Director will be invited to present a report on the state of the institution, its budgets and programs, and on matters of future concern.

2.2.1: The Chair of the Faculty Council is responsible for conveying the principal Faculty Council actions to the Dean/Director, through the official minutes or by other means.

2.2.2: Recommendations of the Faculty Council are implemented, if and when approved by the Dean/Director and, when required, by the President of The College, and by the Board of Visitors of The College. In the event that the Dean/Director rejects or does not choose to implement recommendations of the Faculty Council, that decision shall be communicated in writing to the Faculty Council with reasons for such action. Upon receipt of this communication the Faculty Council may choose, by a vote of two-thirds (2/3) of the Faculty Council members, to appeal such decisions to the Dean/Director. If the appeal is not resolved with the Dean/Director, it may then in unusual and appropriate circumstances be sent to the Provost of The College and/or The
Faculty Assembly of The College for their consideration.

2.3: Composition and Structure.

The Faculty Council consists of two Representatives and one Alternate Representative from each Department to be elected by The Faculty of each Department from the Faculty members within that Department. At least one Representative from each Department must be tenured or tenure eligible. Administrative officers, i.e. the Dean/Director, the Director for Research and Advisory Services, and the Dean of Graduate Studies, may neither vote for nor serve as Representatives. All other Faculty as defined above (Article 1, Section 1), including Department Chairs but excepting Emeritus, are eligible. Each Representative will represent the interests of his or her respective Department. It is the responsibility of the senior Representative of a Department (the longer serving of the two Representatives) to report to the Departmental Faculty the proceedings of the Faculty Council and other related matters. The Representatives serve as a channel through which any member of the VIMS community (Faculty, Staff, Students) may introduce matters for consideration by the Faculty Council or its Committees.

Alternates may vote only when replacing an absent Representative but have voice at all meetings.

Representatives are elected for a term of three (3) years, and alternates for one (1) year. The term of office for Representatives is staggered so that approximately one-third (1/3) will be elected in a given year. Terms for Representatives from a given Department will not coincide. New members begin service on 1 July. In the event a Representative is unable to serve, the alternate fills the position for the remainder of the term and the Department elects a new alternate Representative.

The Departments reserve the right to rescind the election of a Representative or Alternate to the Faculty Council or its standing committees for habitual absence or other malfeasance and to elect a successor for the remainder of the term.

The Chair of the Academic Council shall serve as a Representative to the Faculty Council with full voice and voting rights. The Dean/Director, the Director of Research and Advisory Service and the Dean of Graduate Studies are ex officio, non-voting members of the Faculty Council.

2.4: Officers, Election of Officers, Terms of Office.

The officers of the Faculty Council are the Chair, Vice Chair, and Secretary. The Chair is elected at-large by The Faculty for a term of three (3) years, and must be a tenured Faculty member. The Chair of the Faculty Council is a representative to The Faculty Assembly of The College. Four weeks prior to the spring meeting in the years when a Chair is elected, the Nominations and Elections Committee will solicit nominations from The Faculty and prepare a
ballot for consideration at the meeting of The Faculty. Nominations from the floor will be accepted. The Vice-Chair is elected annually by the Faculty Council from among the tenured members of the Departmental Representatives to the Faculty Council at the first meeting of the Faculty Council after the new members begin service. The Secretary is elected annually by the Faculty Council from among the members of the Departmental Representatives to the Faculty Council also serves as general secretary to The Faculty (Article 4, Section 1.3).

If the Faculty Council Chair is vacated by resignation or other cause, the Vice Chair will assume the position of Chair until June 30th following the next regular Spring Faculty meeting. The Faculty shall elect a new chair for a three (3) year term at this Spring meeting. A new Vice Chair will be elected by the Faculty Council, and the Alternate from the Department represented by the former Vice Chair will assume duties as a Representative. The Department affected will elect a new Alternate.

The Chair of the Faculty Council presides at meetings of the Faculty Council. In his or her absence, the Vice Chair presides. He or she prepares and distributes notices of Faculty Council meetings to The Faculty and Administration, the agenda for Faculty Council meetings, and specific reports (as requested) on the work of the Faculty Council to The Faculty, the Dean/Director, the President, Provost, and the Board of Visitors of The College. The Chair shall report on Council business to The Faculty at regular meetings of The Faculty.

The Secretary is responsible for the taking and distribution of minutes of the Faculty Council and General Faculty meetings, and prepares and distributes notices and agendas of meetings of The Faculty.

2.5: Meetings of the Faculty Council.

There shall normally be monthly meetings of the Faculty Council. Special meetings may be called by the Chair, by resolution of the Faculty Council, or by a petition signed by at least two of the Representatives. Meetings may be conducted electronically, including by email or computer (such as web-based) conferencing.

At the first meeting of the Faculty Council after new members begin service, a schedule for meetings shall be determined. Meeting agendas will be prepared by the Chair of the Faculty Council in consultation with the Dean/Director. The agenda is sent to The Faculty, Representatives, and the chairpersons of all Faculty Council committees at least five (5) working days before regularly scheduled meetings, or as much in advance as possible for a meeting called in an emergency. Any single Representative may require that a proposal be placed on the agenda unless otherwise specified in these bylaws.

A quorum shall consist of a simple majority of the Representatives with each department represented. An affirmative vote of a majority of the Representatives present and voting shall be necessary to adopt any motion, resolution or other action, except as specified otherwise in these Bylaws. All members of The Faculty may attend meetings of the Faculty Council without voice or vote.
As required for purposes of confidentiality, the Faculty Council may enter into closed
session by a two-thirds (2/3) vote of the members present or by written request of the
Dean/Director and in accordance with procedures established for meetings of the Board of
Visitors of The College.

The Faculty Council may adopt Operating Rules consistent with these Bylaws to
facilitate its functioning as needed.

2.6: Standing Committees of The Faculty Council.

The standing committees of the Faculty Council operate under policies, procedures and
criteria approved by The Faculty. They include, but are not necessarily limited to:

2.6.1: Faculty Status and Tenure Review.

There is a Committee on Faculty Status and Tenure Review (FS&TR) consisting of one
member from each Department plus one additional member representing The Faculty at-large.
All members are elected at-large by The Faculty. Each Department will nominate at least two
candidates for their Departmental representation on the FS&TR and, optionally, any Faculty
member for the at-large position. The members elected to the FS&TR must be from the tenured
Faculty excluding Department Chairs and Administrative Faculty. They serve for a term of three
(3) years. Terms of office are staggered so that approximately one third (1/3) of the members are
elected annually. New members are elected at the spring meeting of The Faculty and assume
office on July 1. The Committee elects its Chair annually from among the membership at the first
meeting with new members. Vacancies created by resignation or other cause will be filled for the
remaining term by the represented department by departmental vote. Vacancies created by
resignation or other cause of the at-large member will be filled for the remaining term by Faculty
Council appointment.

The FS&TR, according to policies, procedures, and criteria† approved by The Faculty,
by the Dean/Director, reviewed by the Procedural Review Committee of The College, and
recorded by the Personnel Policy Committee of The College will:

a) Review the credentials of applicants for Faculty status and make recommendations regarding
Faculty appointments, rank, and status to the Dean/Director, to be forwarded through the Provost
and President to the Board of Visitors of The College;

b) In accord with established schedules, review the record of Faculty members and make
recommendations to the Dean/Director regarding Faculty promotion, retention, the award of

† Procedures and Criteria for Appointment, Evaluation, Retention, Promotion and Award of Tenure. VIMS
Committee on Faculty Status and Tenure Review, ratified 19 October 1979, current version 5 June 1997.
tenure and, when required, post-tenure review;

c) Review Faculty appeals of annual performance evaluations and provide findings and recommendations to the Dean/Director and;

d) Develop procedures for the appeal of its decisions by Faculty.

2.6.2: Nominations and Elections.

There is a Committee on Nominations and Elections (NEC) consisting of one (1) member elected by each Department. Members serve for terms of three (3) years. Terms are staggered so that approximately one third (1/3) of the members are elected annually. New members assume office on July 1. The Committee elects its Chair annually from among the membership at the first meeting with new members.

The NEC shall, according to policies, procedures, and criteria approved by The Faculty, and the Dean/Director:

a) Review representation formula and certify candidate eligibility;

b) Assess the equity of Departmental representation;

c) Determine vacancies to be filled;

d) Administer Faculty voting and elections;

e) Administer elections of Faculty to all College-wide committees in consultation with the VIMS and SMS representative to The Faculty Assembly Committee on Committees.

The NEC shall keep a record of all elected and appointed offices of The Faculty and the institution and inform The Faculty and Dean/Director when vacancies in these offices occur by reason of expiration of terms or otherwise. At least 10 working days in advance of elections, the NEC will make written nominations for vacant elective offices of The Faculty. The NEC conducts all elections in accordance with these Bylaws and procedures and criteria established by The Faculty.

2.6.3: Other Committees.

The Faculty and the Faculty Council may establish other standing committees and special or ad hoc committees, and provide for participation in committees of The College as may be appropriate for the performance of its functions. Membership on such committees may come
from The Faculty as well as the Representatives of the Faculty Council. Membership of the committees is determined in such a manner as the Faculty Council may decide. For any or all committees the Faculty Council may elect a nominating committee or request nominations from the Representatives representing each Department. When the Faculty Council is to vote on the membership of any committee, nominations from the floor will be allowed.

Section 3: The Academic Council.

An Academic Council for the School of Marine Science (SMS), Virginia Institute of Marine Science, The College of William & Mary is a representative body of The Faculty to provide for the development, maintenance and advancement of the academic and degree programs of the SMS. The responsibilities of the Academic Council include but are not limited to curriculum, degree requirements, teaching, admissions, and financial aid.

Actions of the Academic Council may not contravene any provisions of Virginia Law, the policies of The College as set forth by The College's Board of Visitors, or by the policies defined in these Bylaws. The Academic Council is further governed and bound by the most recent version of the Faculty Handbook of The College as approved by the Board of Visitors.

3.1: Relationship to the Faculty Council and the SMS

The Academic Council is represented on the Faculty Council by the Chair of the Academic Council. The Chair of the Academic Council shall report to the Faculty Council on matters relating to the academic and degree programs and the actions of the Academic Council, and shall represent the interests of the SMS to the Faculty Council.

3.1.1: The Chair of the Academic Council has full voice and vote on the Faculty Council.

3.1.2: The Chair is a Representative to The Faculty Assembly of The College.

3.1.3: The Chair of the Academic Council reports on all matters relating to the academic and degree programs of the SMS at regular and special meetings of The Faculty.

3.2: Relationship to the Dean/Director and the Dean of Graduate Studies.

The Academic Council may request reports from the Dean/Director and the Dean of Graduate Studies on matters concerning the academic and degree programs and academic budgets of the SMS for the use of its committees, or distribution to The Faculty and the Faculty Council.

3.2.1: The Dean of Graduate Studies is an ex officio non-voting member of the Academic
Council and is responsible for reporting principal Academic Council actions to the Dean/Director.

3.2.2: Recommendations of the Academic Council are implemented by the Dean of Graduate Studies, if and when approved by the Dean/Director, and where required, by the President and the Board of Visitors of The College. In the event that the Dean/Director does not approve a recommendation of the Academic Council, that decision will be communicated in writing to the Academic Council with reasons for such action. The Academic Council may appeal such decisions to the Dean/Director by a resolution approved by two-thirds (2/3) of the Academic Council members. If the appeal is not resolved with the Dean/Director, it may then in unusual and appropriate circumstances be sent to the Provost of The College and/or The Faculty Assembly of The College for their consideration.

3.3: Functions.

According to procedures and criteria approved by The Faculty, the Academic Council performs such functions as may be entrusted to it by the The Faculty and, through recommendations to the Dean/Director, considers academic matters of concern to the The Faculty.

The Academic Council makes recommendations to the Dean/Director concerning academic matters of concern to The Faculty. The Academic Council evaluates academic issues relating to The College and of legitimate concern to the SMS and makes recommendations to The Faculty Assembly. The Academic Council formulates academic policy recommendations regarding the SMS for the Dean/Director based on proposals from the administration, department Faculty, student organizations, and individual Faculty members. The Dean/Director and the Dean of Graduate Studies consult with and seek the advice of the Academic Council on all matters relating to the academic and degree programs, and students. The Academic Council will respond appropriately and will keep The Faculty apprised of its actions through Departmental Representatives and the Academic Council's Representative to the Faculty Council.

The Academic Council may establish standing academic committees, special committees, and provide for participation in the academic committees of The College as may be appropriate for the performance of its functions (see Section 3.7). The Academic Council performs such functions as are given to it by The Faculty, the Dean/Director, or the designees of the Dean/Director. It prepares and submits specific reports, as requested, on the work of the Academic Council to The Faculty, the Dean/Director, the President and Provost of the College, and the Board of Visitors of the College. The Academic Council at its discretion may call and convene meetings of The Faculty.

3.4: Composition and Structure.

The Academic Council has one Representative and one Alternate elected by The Faculty
in each Department. Alternates may vote only when replacing an absent Representative but have voice at all meetings. All Faculty except the Dean/Director, the Director for Research and Advisory Services, the Dean of Graduate Studies and Emeritus are eligible to serve as Departmental Representatives to the Academic Council. The term of office for each Representative is three (3) years. The term of office for Alternates is one year. Terms of office are staggered so that roughly one-third (1/3) of the Representatives are elected annually. Representatives serve the interests of the SMS in their Department and serve as a channel through which any member of The Faculty and students may introduce matters for consideration by the Academic Council or its committees. It is the responsibility of the Representatives from each Department to disseminate or report to The Faculty of that Department the proceedings of the Academic Council and other related matters. There will be a Representative and an Alternate designated by the Graduate Student Association of the SMS to be elected annually by the GSA. The GSA determines the eligibility requirements of its Representative. The Representative of the GSA represents the interests of the SMS students. The GSA Representative shall have voice but no vote on the Academic Council.

The Dean/Director serves as a non-voting *ex officio* member of the Academic Council.

The Departments reserve the right to rescind the election of a Representative or Alternate to the Academic Council or its standing committees for habitual absence or other malfeasance and to elect a successor for the remainder of the term.

### 3.5: Officers, Elections, and Terms of Office

The officers of the Academic Council are the Chair and Secretary. The Chair is elected at-large by The Faculty for a term of three (3) years and must be a tenured member of The Faculty. The Chair shall serve as a Representative to the Faculty Assembly of the College. The Secretary is elected annually by the Academic Council from among the tenured members of the Representatives at the first meeting of the Academic Council after new members begin service. Elections to fill vacancies on the Academic Council will occur at departmental meetings in the spring.

The Secretary will arrange for the taking and distribution of minutes of the Academic Council meetings. If the Chair of the Academic Council is vacated through resignation or other causes, the Secretary will assume the position of Chair, and a new Secretary will be elected from among eligible members of the Academic Council to the fill the unexpired term of office.

### 3.6: Meetings of the Academic Council.

There shall normally be monthly meetings of the Academic Council. Special meetings may be called by the Dean/Director, the Dean of Graduate Studies, the Chair, by a resolution of the Academic Council or by a petition signed by at least two of the Representatives. Meetings are
open to members of The Faculty without voice or vote. The Chair presides at all meetings of the Academic Council. The Chair and the Dean of Graduate Studies shall prepare the agenda for each meeting. Any single Representative may require that a proposal be placed on the agenda unless otherwise specified in these bylaws. The agenda shall be circulated to the Representatives and Alternates at least five (5) working days before each regularly scheduled meeting and a copy of the agenda shall be posted where it is available to The Faculty. Agenda for special meetings shall be circulated as much in advance as feasible. The Secretary shall see that events at each meeting, regular or special, are recorded and shall circulate a draft of the minutes to members within five (5) working days. Following approval, the corrected minutes shall be provided to each Representative who shall then inform his or her department Faculty by appropriate posting.

A quorum shall consist of a simple majority of the Representatives. An affirmative vote of a majority of the members present and voting shall be necessary to adopt any motion, resolution, or other action.

As required for purposes of confidentiality, the Academic Council may enter into closed session by a two-thirds (2/3) vote of the members, or by request of the Dean/Director and in accordance with procedures established for meetings of the Board of Visitors of the College.

3.7: Standing Committees of the Academic Council.

Standing committees may include as members, representatives of the Academic Council or any Faculty member as well as student representatives. Membership is determined in such a manner as the Academic Council may decide or as specified by these bylaws. When the Academic Council is to vote on the membership of any committee, nominations from the floor will be allowed.

The standing committees of the Academic Council are the standing committees of The Faculty. They may include, but are not necessarily limited to, committees on Admissions and Student Financial Aid, Educational Policy, Student Research, and Academic Status and Degrees. The Academic Council will develop the charge and function of each committee to ensure equal representation among Departments. These committees shall develop policies and procedures for their operation that are approved by The Faculty.

ARTICLE 5: Parliamentary Authority

The current edition of Robert’s Rules of Order, except when inconsistent with these bylaws, shall govern meetings of The Faculty, the Councils, and committees.

ARTICLE 6: Amendments to the Bylaws

Section 1: Procedures
Amendments may be proposed by two or more Representatives of the Faculty Council or Academic Council or by two or more Faculty members with a petition signed by at least one third (1/3) of the members of a department. The proposed amendment(s) shall be submitted to the Faculty Council for consideration and subsequent forwarding to the Academic Council for consideration. Amendments approved by a majority vote of both Councils and in consultation with the Dean/Director shall then be placed on the agenda for the next meeting of The Faculty. Amendments also may be submitted directly to Faculty referendum without approval by either Council by means of a written petition signed by at least one third (1/3) of The Faculty.

Section 2: Approval

Approval of proposed amendments by The Faculty requires at least a two thirds (2/3) vote of all members. Following approval by The Faculty, the amendment(s) shall be forwarded for approval through the Dean/Director, the Procedural Review Committee, the Personnel Policy Committee, Provost and President, for final approval by the Board of Visitors of The College.
VIMS Policy and Procedure Documents (PPDs) are the documents by which official policies, procedures, and related information are published and distributed to the VIMS community. Although recommendations for modifying existing PPDs or establishing new PPDs can come from any source, all Policy and Procedure Documents are issued by the Dean and Director of the Virginia Institute of Marine Science. Additionally, policies and procedures constructed by the faculty as a body, by the Faculty Council, or by the Academic Council that are not part of the By-Laws of the Virginia Institute of Marine Science or of the Faculty Handbook will, when received and approved by the Dean and Director, be issued as VIMS Policy and Procedure Documents. The administration of the Virginia Institute of Marine Science is committed to ensure that the policies and procedures are in accordance with state law and with the policies and procedures of the college of William & Mary.

The policies, procedures, directions, and similar information presented in the Policy and Procedure Documents may stand-alone or they may be supplemental to policies, procedures, directions, etc. specified by the College of William & Mary or the Commonwealth of Virginia. Unless otherwise specified, Instructions are effective at the time of issue.

When an individual initially reports to work at the Virginia Institute of Marine Science, it is the responsibility of that individual’s supervisor to advise the new employee of the existence of VIMS Policy and Procedure Documents and to inform the new employee as to where the set of Policy and Procedure Documents are available for reference. Thereafter, each and every individual employed by the Virginia Institute of Marine Science is responsible for complying with the Policy and Procedure Documents. Notification of major changes to these documents will be announced prior to the effective date of the change.

Date: July 1, 2009, Rev: May 7, 2010
The Virginia Institute of Marine Science (VIMS) is a component of the College of William & Mary and includes the School of Marine Science (SMS) which is a graduate school of the College.

The Director of the Virginia Institute of Marine Science also serves as the Dean of the School of Marine Science (Dean and Director).

The internal administrative and organizational structures of VIMS are as determined by the Dean and Director, with the approval or advice, as appropriate, of the Provost. The President, and Board of Visitors of the College.

The following two diagrams show 1) the organizational structure of VIMS as it relates to the College of William & Mary and 2) the internal organizational structure of VIMS.

VIMS has three separate campuses: 1) the York River (or Gloucester Point) Campus, 2) the Eastern Shore (or Wachapreague) campus, and 3) the Topping Campus (Kauffman Aquaculture Center). Usually administrative actions, procedures, and policies apply equally at all three locations except that in some cases, for example storm closures, the Eastern Shore Campus functions independently of the others. Administratively the Topping Campus is considered part of the York River Campus. Additionally, some remote facilities and sites, such as the Chesapeake Bay National Estuarine Research Reserve in Virginia, that are managed by and function under the auspices of the Institute, are considered part of the York River Campus.

July 1, 2009, rev September 17, 2009, rev, June 15, 2010
College of William & Mary
Organizational Structure

Rector and Board of Visitors
College of William & Mary

Internal Auditor

President
College of William & Mary

Provost

Richard Bland
College

Dean and Director
Virginia Institute of Marine Science

(September 2009)
Research Centers ("Centers") are organizational areas within the Virginia Institute of Marine Science that are established for a specific purpose such as performing research in a defined area of study or providing a specific type of advisory service. Research Centers are established by the Dean and Director and continue to exist until there no longer is a specific need for the function provided by the Center, there are insufficient funds to continue effective operation of the Center, or the Dean and Director, with the advice of the Faculty Council and other appropriate bodies, determines to end the Center.

Research Centers are headed by an individual appointed by the Dean and Director. The head of a Center must be a member of the faculty, whether tenured/tenure-eligible or not, or a Professional or Professional Faculty and be a member of one of the Institute’s regular Departments. At the time a Center is established, it will be decided if the Center head should report to the Dean and Director or to the Director for Research and Advisory Services. Center heads initially are appointed for a term of three years, unless contractual circumstances require otherwise. Approximately six months before the expiration of the initial term, the Dean and Director will appoint a committee to review the performance of the Center head and to recommend to the Dean and Director whether or not the Center head should continue in office. Should the Center head continue in office, performance reviews will be conducted at intervals of four years.

At the time of publication of this Policy and Procedure Document, the existing Research Centers are as follows:
- Aquaculture Breeding and Genetics Technology Center,
- Center for Coastal Resources Management,
- Chesapeake Bay National Estuarine Research Reserve in Virginia,
- Eastern Shore Laboratory, and
- Marine Advisory Services.

The Virginia Sea Grant Program functions in a manner similar to Research Centers but is separate entity within VIMS.

Date: May 1, 2010
The regulations concerning parking at the Gloucester Point Campus of the Virginia Institute of Marine Science generally are those specified by the Parking Services of the College of William & Mary and are distributed yearly with parking permits. The regulations also may be viewed at [www.wm.edu/parking/](http://www.wm.edu/parking/).

Additionally, the Dean and Director of the Virginia Institute of Marine Science designates a Parking Committee which may, from time to time, suggest special regulations which the Dean and Director may or may not choose to adopt. If those special regulations are to be permanent, they will be published as addenda or modifications to this Policy and Procedure Document. If those regulations are to be for a limited time, they will be published by email or other local means as appropriate.

In order to accommodate the need for parking for guests attending conferences or meetings on campus, the following protocol should be followed.

A: If the meeting will involve ten or fewer visitors, the host or meeting organizer should contact Parking Services at William & Mary (757 221 4764 or parked@wm.edu) to request parking passes.

B: If the meeting will involve more than ten visitors, the person hosting or organizing the meeting should contact the VIMS telephone console attendant at least one week before the event and request that the telephone console attendant contact Parking Services to arrange for parking passes and to request that there be no enforcement of parking regulations on campus for the duration of the event.

Regulations concerning parking at the Eastern Shore Campus of the Virginia Institute of Marine Science are at the discretion of the Dean and Director who will seek recommendations from the Scientist-in-Charge stationed at the Eastern Shore Campus. Regulations concerning parking at the Topping Campus are at the discretion of the Dean and Director.

Date: July 1, 2009, rev May 7, 2010
Periodically faculty, staff, and students at the Virginia Institute of Marine Science are subpoenaed to testify in judicial matters relative to their fields of expertise. Usually the officer serving the summons delivers them to the Institute’s Receptionist who, in turn, contacts the person being served who then collects the Summons. On occasion, the officer must serve the summons directly to the person being served, in which case if the officer does not know the location of individual, the Receptionist will attempt to call the individual who then must report to the Reception Desk and receive the summons.

Any person who is subpoenaed for such testimony must inform his or her immediate supervisor, the Director of Research and Advisory Services, and the Dean and Director. These steps are required so that it can be determined if the intent of the subpoena is to obtain testimony from the individual as a qualified expert witness or to obtain an official position of the Institute. In the event that the intent is to obtain the official position of the Institute, the person being summoned to testify must receive specific authorization from the director of Research and Advisory Services and Dean and Director to present the Institute’s position unless that position exists in the general public domain.

Only designated persons in the Office of the Dean and Director are authorized to receive a summons against the general name of the Institute, for example notices of suits against the Institute or orders to cease and desist some specific activity.

Date: July 1, 2009, rev May 7, 2010
The Institute will not provide payment from “E&G” or “Institutional” funds for individual memberships in professional organizations, professional licenses, or professional certifications. If specifically allowed by the sponsoring agency, grant or contract funds may be used to pay for the cost of the action. If the cost of a certification is included within the general fee charged for attending a professional meeting or seminar which an individual attends, the usual and customary requirements for funding participation in such meetings apply. On rare occasions, the Dean and Director may approve exemptions to the no-funding of individual memberships policy.

If specifically approved in advance by the Dean and Director, the Institute may provide funding for organizational memberships in various organizations.

Date: July 1, 2009, rev May 6, 2010
The intent of this Policy and Procedure Document is to ensure compliance with the federal Drug Free Workplace Act of 1988 and Drug Free Schools and Communities Act Amendments of 1989, the Commonwealth of Virginia’s, Department of Human Resources Management Policy No. 1.05 concerning alcohol and other drugs, and with College’s policies concerning alcohol and other drugs in all cases as revised and updated.

As part of the orientation program, all new staff and faculty will be advised of the College’s drug and alcohol policies and informed as to where and how full copies of those policies may be obtained.

All new students will be advised of the College’s drug and alcohol policies and informed as to where and how full copies of those policies may be obtained.

The Virginia Institute of Marine Science does not condone the illegal use of controlled substances (drugs). Persons found using such substances at work or while representing the Institute may be subject to work sanctions potentially including dismissal as well as to criminal penalties. Additionally, persons found working or representing the Institute while impaired or under the influence of alcohol or drugs may be subject to sanction.

Some specific categories of employees, for example licensed vessel captains, additionally are subject to more stringent requirements that may include random and for-cause drug and alcohol testing. The applicability of these more stringent requirement are presented in separate documents (see PPD-0901, Vessel Operation, Training and Safety Policy)

Date: July 1, 2009
The Virginia Institute of Marine Science has a long-standing policy that prohibits outside marine-related employment within the Commonwealth of Virginia. It should be noted that this Institutional policy is more stringent than the policies on external paid employment presented in the William & Mary Faculty Handbook and in the general specifications for Commonwealth classified and University employees. External paid employment is defined as any professional activity (for example, consulting) that is undertaken for a third party and for which the individual receives compensation.

This policy serves as an important cornerstone in our institutional principle of scientific objectivity and non-advocacy on marine issues within the Commonwealth. Adherence to this policy avoids the possibility that VIMS could be placed in a position with several researchers in the public arena offering diverse or opposing viewpoints as paid consultants on controversial issues within our purview. Fulfillment of our mission requires that we maintain our status within Virginia as an advisor only to the Commonwealth.

Faculty and staff engaged in external paid employment, whether marine-related or in Virginia or not, must seek approval in advance from the supervisor and/or department chair, and in the case of faculty from the department chair, Dean and Director, and Provost. Specific procedures for obtaining approval for faculty are may be found at (http://www.wm.edu/about/administration/provost/forfacstaff/policies/externalemployment/index.php) with the from available at (http://www.wm.edu/about/administration/provost/documents/external_paid_employment.pdf). The form to be used for obtaining approval for University or Classified employees at VIMS is at the end of the document. The need for this approval process is to assure that the external employment will not impair the individual’s primary obligation to the Institute and will not subject the individual to potential accusations of conflict of interest.

Finally, although the Institute and College do not intend to bar individuals from providing volunteer services to non-governmental organizations (NGOs), individuals choosing to serve in volunteer positions where they might be called upon to provide professional opinion or testimony should inform the Director of Research and Advisory Services of such activity, see Policy and Procedure Document 0011. The reason for providing this information is to assure that the Institute will not without warning be placed in a situation where a faculty member or professional employee as part of a volunteer activity for an NGO or other agency intends to provide opinions or testimony that may be contrary to stated positions of the Institute. Faculty and staff are reminded that in such volunteer activity they must clearly state that the opinions given are theirs and do not necessarily represent any official position of the Institute or College. Furthermore, a person providing such formal volunteer service must do so on the individual’s own time (weekend or some form of leave).

Date: July 1, 2009, rev September 17, 2009, rev May 7, 2010
CLASSIFIED AND UNIVERSITY EMPLOYEE OUTSIDE EMPLOYMENT APPROVAL

I understand that institutional authorization is required for any employment beyond my regular duties at the Virginia Institute of Marine Science of The College of William & Mary. Therefore, I ____________________________ (Name), hereby request approval to undertake the task described below since this constitutes outside employment within the definition of the Personnel Act (see Department of Human Resource Management (DHRM) Policy 1.60, Standards of Conduct.

DESCRIPTION OF EMPLOYMENT (Firm, partnership or business, nature of work, duration, estimated time required, etc. Please be as specific as possible; use reverse side if necessary.)

In making this request, I certify that this additional commitment will not adversely impact my primary obligation to the College. I fully understand that outside employment that is substantially related to the marine environment is not permitted within the Commonwealth of Virginia.

Further, I certify that in my judgment this employment will constitute neither Conflict of Interest nor unfair competition with the private sector as defined by state and institutional guidelines (see “Policy on Conflict of Interest” on the VIMS website at http://www.vims.edu/admin/sponpgms/guideline.html)

___________________________________________________ Employee
(Signature)                                                             (Date)

In approving this form I confirm that I have reviewed the request and concur that the activity(ies) as described by the employee conform with all appropriate regulations and guidelines for outside employment. Further, I understand that it is my supervisory responsibility to monitor this activity ensuring continuing compliance with all applicable guidelines until the employee submits a written notification that this outside employment has ceased.

____________________________________________________ Supervisor
(Signature)                                                             (Date)

____________________________________________________ Director/Manager or Department Chair
(Signature)                                                             (Date)  (Approved / Disapproved)

____________________________________________________ Dean and Director
(Signature)                                                             (Date)  (Approved / Disapproved)

This form is required for full-time classified and university employees accepting outside employment. 11/06/2006 jal
The purpose of this Policy and Procedure Document is to assure that individuals desiring to convene special events at the Virginia Institute of Marine Science are aware of the procedures and regulations that must be followed.

VIMS facilities are to be used in a manner consistent with their intended purpose. Recognizing the importance of a broad program of extracurricular activities in the lives of its students, faculty, and staff, VIMS encourages the widest practical use of its physical facilities by campus and non-campus groups whose educational and cultural purposes are compatible with those of VIMS and the College of William & Mary. In all matters of scheduling, the regular academic and research commitments of the Institute will have precedence over extracurricular events. Space and facilities of VIMS may be made available for other use, including use by groups not a part of the VIMS community, under terms and conditions that protect the property and financial interests of VIMS and insure no impairment of the Institute’s broader interests. In assigning space, VIMS will not interfere with the rights of individuals and groups as to the free expression of their view as set forth in the College’s Statement of Rights and Responsibilities as listed in the Student Handbook. Campus facilities may not be used for specifically commercial purposes. Non-VIMS groups which are granted use of facilities may not imply in publicizing their events that such use reflects VIMS or the College of William & Mary’s endorsement of the organization or sponsorship of the program, except when VIMS authorizes such publicity through the appropriate administrative channels.

The on-line Events Reservation Form (http://web.vims.edu/calendars/sch_res.html?svr=www) must be submitted to reserve space, notify the Department of Facilities Management and the Office of Safety and Environmental Programs. If alcohol will be served, the individual convening the event is responsible for obtaining an ABC license and written approval of the Dean and Director (see Policy and Procedure Document 0010). The Dean and Director has the final approval on the use of the Institute’s facilities for any special event.

Individuals planning to host a Non-VIMS event should submit the on-line Events Reservation Form (http://web.vims.edu/calendars/sch_res.html?svr=www) at least three weeks in advance, indicating the event as “non-VIMS” to notify the Department of Facilities Management, the Office of Safety and Environmental Programs, and the Special Events Coordinator in the Office of Facilities Management. The Special Events Coordinator will approve appropriate events and assist with arrangements. If alcohol will be served, the individual convening the event is responsible for obtaining an ABC license and written approval of the Dean and Director (see Policy and Procedure Document 0010). The Dean and Director has the final approval on the use of the Institute’s facilities for any special event.
All College and State regulations concerning alcoholic beverages (See Policy and Procedure Document-0010) must be followed.

The use of facilities at VIMS shall be in accordance with all applicable laws, including the standards of conduct of the College of William & Mary. The facilities must be used in a safe, professional manner so as not to endanger the VIMS community or the general public. VIMS may restrict access to land and buildings to protect individuals, property, equipment, and scientific experiments. Any person utilizing a VIMS facility who engages in unlawful or disruptive conduct or violates VIMS or College policies may be asked to leave the property. Failure to comply with such requests and failure to abide by regulations governing the use of VIMS facilities constitute trespassing under Virginia state law and may lead to disciplinary action and/or arrest.

Date: July 1, 2009, rev May 7, 2010
The College of William & Mary, Virginia Institute of Marine Science (VIMS) expects that all of its students, faculty, and staff and their guests, as well as all recognized organizations, will observe Virginia laws as they pertain to the purchase, distribution, and consumption of alcoholic beverages. These regulations for events at VIMS where alcoholic beverages are served outline the responsibilities of organizations and individuals sponsoring such events, incorporating the legal requirements of the Virginia Alcoholic Beverage Control Board and additional requirements of VIMS and the College of William & Mary. They regulate the use of alcoholic beverages in or on all property (grounds, buildings, vessels, vehicles, etc.) under the control of VIMS. It is the responsibility of the sponsors of events where there will be alcoholic beverages to plan and supervise the activity in conformance with all applicable laws, regulations, and policies.

Title 4.1, Chapter 3 of the Code of Virginia pertains to the consumption and sale of alcoholic beverages and generally states:
- Persons who are not 21 years of age may not purchase, possess, or consume any type of alcoholic beverage.
- No person may be in a public area in an intoxicated condition.
- Alcoholic beverages may not be sold or served to individuals who appear to be or are intoxicated.
- No person may bring any type of alcoholic beverage into a licensed facility or area, nor may any person take alcoholic beverages out of a licensed facility or area.

A: Regulations Applying to All Events

It is the responsibility of the sponsoring individual or organization to enforce the law. Because VIMS may permit the scheduling of events on its Gloucester Point campus and other properties under its control at which alcoholic beverages are served or consumed, the following apply for all events:

1. No person shall be served or consume alcoholic beverages at or in any unlicensed public area, including all buildings, grounds, vessels, vehicles, etc. under the control of VIMS.

2. To convert public areas to private areas for the purpose of serving alcoholic beverages at functions, the sponsoring organization or individual must officially schedule the facility and gain approval for the event through the Office of the Dean and Director. Scheduling request forms for events must be submitted to the Dean and Director’s office, or a designee, no later than 5:00 p.m. on the preceding Tuesday for weekend events. In order to be accepted, forms must be completely filled out and signed by all required persons. Approved forms must be picked up from the Office of the Dean and Director by 5:00 p.m. on Friday and must be displayed at the event. Failure to display the authorization form at any function will constitute an unauthorized event which is subject to closing by
Campus Security or other College or VIMS officials. Requests for events on other days are due at least one week in advance of the event.

3. Functions where the consumption of alcoholic beverages is the principal attraction are not permitted.

4. VIMS reserves the right to limit the amount of alcohol which may be present and/or served at any function. Further, non-alcoholic beverages must be visible and available on the same basis as any alcoholic beverages served. No one who appears to be intoxicated or unable to function properly will be served an alcoholic beverage.

5. Appropriate food items such as snack items and vegetable and cheese trays must be available throughout functions where alcoholic beverages are served or sold. Failure to provide adequate alternative beverages and food may result in the closing or delay of the event.

6. Organization members (sponsors) who are completely sober must be present throughout the entire event to provide supervision and to ensure compliance with the requirements of this policy.

7. Sponsors must sign a “Schedule Request Form” which signifies their understanding of and willingness to abide by these regulations and policy. The event manager and the bartenders / servers must have attended a Party Management Seminar (TIPS training) prior to signing for the event. Information of scheduling Party Management Seminars (TIPS training) can be obtained from the Student Activities office on the Williamsburg Campus (Phone - 757 221 3300, Fax - 757 221-3451). Because the seminars may not be offered frequently, persons who anticipate sponsoring a function should work as far in advance of the function as possible to assure the ability to comply with this requirement.

8. Signs must be posted at all entrances to the event stating the name of the sponsoring organization and/or the title of the event. These signs should indicate the private nature of the function and the restrictions on attendance.

9. Under no circumstances is it legal or permissible for persons who are not 21 years of age to be served or consume alcoholic beverages at any event.

10. Alcoholic beverages may not be sold or served prior to 12:00 noon or after 1:00 a.m. Social functions scheduled Sunday through Thursday must conclude by 1:00 a.m. Functions scheduled on Friday and Saturday must conclude by 1:30 a.m. unless specific prior permission has been granted in writing. The service of alcoholic beverages must end at least a half hour before the conclusion of the event regardless of the day or time scheduled. At all outdoor functions, alcoholic beverages may not be sold or served prior to 12:00 noon or after 12:30 a.m., and the function must end by 1:00 a.m. unless specific prior permission has been granted in writing. The institution reserves the right to limit the duration and number of events that an organization might schedule.

11. Unattended bars/serving areas are not permitted. Alcoholic beverages may only be served one at a time per person.

12. No alcohol may be served or consumed in glass containers at functions without special written permission of the Dean and Director.

13. The serving or consumption of alcoholic beverages at any membership recruitment, initiation/induction or pre-initiatory activity or event is strictly prohibited.

14. Each function must have an individual(s) designated as “Bar Manager(s).” The Bar Manager(s) shall supervise the serving and sale of alcoholic beverages and shall determine when individuals appear intoxicated and may not be served. The Bar Manager has full responsibility for ensuring that individuals being served are 21 years of age. A
A sign must be posted in clear view in the serving area stating “Must be 21 years of age to be served.” The person(s) serving as Bar Manager(s) must be at least 21 years of age and must be present at all times during the event.

15. Advertising for events which involve the sale of alcohol must be limited to the campus. Information provided on the advertisement must be limited to the type of function, name of band or entertainment, location, time, sponsoring organization, and a statement indicating that a William & Mary ID and proof of age are required for entrance. Advertising with reference to “alcoholic beverages,” “alcohol,” “cocktails,” “kegs,” “happy hours,” “golden beverages or brew,” or other terms or illustrations descriptive of alcoholic beverages or which encourage or promote the consumption of alcoholic beverages is prohibited.

16. Events involving the distribution and/or sale of alcoholic beverages will not be scheduled for outside public areas which are not adequately shielded from public view, to which entry cannot be readily controlled, and are inappropriate due to their proximity to residential or academic areas.

17. No events shall have “drinking games” as part of their activities or promotion.

B. Special Events

For certain occasions, in addition to complying with the above regulations, an ABC Banquet/Special Event License for the Virginia Alcoholic Beverage Control Board is required. It is the responsibility of the organizer to check and secure in advance any required license. The form may be obtained online from the Department of Alcoholic Beverage Control at http://www.abc.state.va.us/licensing/banquet.htm#ebanquet

The application for a Banquet License must be submitted at least fourteen (14) days prior to the event to the office of the Dean and Director or his/her designee. A Banquet License is issued for a single event, at a specific location, on a particular day only, and the cost will be borne by the sponsoring organization. The ABC Board will not accept license applications that do not allow them two weeks for processing.

At licensed events, the actual license must be displayed in a conspicuous place at all times during the event in order to comply with the State ABC regulations. The license number must also be entered on the VIMS schedule request form which also must be displayed at the function (see A 2, above). Banquet licenses will not be issued by the ABC Board for any event where the majority of participants might be under the legal drinking age of 21.

The submission of an application for an ABC license does not guarantee approval. Groups applying should allow extra time for Board review, revision, or possible rejection when planning events which require a license.

C. Private Events
Private events are those to which attendance is limited to a select invited group (i.e., a club reception for members and invited guests only.)

1. Announcement of the event may be by personal invitation only; no campus-wide advertising of the event is permitted such as flyers, posters, or ads.

2. The percentage of a group’s membership and/or guest list who are of legal drinking age will be a factor in determining if permission will be granted for the serving of alcohol or allowing individuals to bring alcohol at requested functions. Depending on the estimated attendance, a separate room or area may be required for the consumption of alcohol.

3. As in the case of all events where alcoholic beverages will be consumed, the event must be officially scheduled through the on line events form (http://web.vims.edu/calendars/sch_res.html?svr=www)

D. Compliance

Individual who violate this Policy for the Service and Consumption of Alcohol at VIMS are subject to penalties ranging from warning to dismissal. Organizations that fail to follow the proper scheduling procedures or violate the policy may be denied the privilege of scheduling future events.

Nothing herein shall be interpreted as any assumption of liability by the College of William & Mary, Virginia Institute of Marine Science, any injury, damage, or loss caused by any student’s, sponsor’s, or organization’s failure to comply with the foregoing policy. The policies for the service and consumption of alcoholic beverages are further subject to applicable laws of Virginia governing the activity, and each student, organization, and sponsor is responsible for becoming informed about and observing the law. Permission by VIMS to conduct any activity covered by these rules shall not release the student, organization, or sponsor from applicable laws governing the activity. The student, organization, or sponsor is not an agent of VIMS/SMS and has no authority to make any representation on behalf of the College.

Finally, persons planning events at which alcoholic beverages will be served also must comply with Policy and Procedure Document 0009 concerning Special Events.

Date: July 1, 2009, rev May 7, 2010
The Virginia Institute of Marine Science is firmly committed to the concepts of free speech and academic freedom and does not intend to limit the rights of faculty, staff, or students to speak or to present written communications to a wide diversity of audiences. However, anyone presenting professional opinions or interpretations, whether written or oral, public or private, must be careful to separate personal opinions and interpretations from Institutional statements. Only the Dean and Director, the Director for Research and Advisory Services, the Dean of Graduate Studies, and the Public Relations Officer generally are authorized to “speak for the Institute.” Anyone who anticipates being in a situation where she or he is apt to be called upon to present the Institute’s position on a topic, must communicate with the Dean and Director, Director for Research and Advisory Services, or the Dean of Graduate Studies, as appropriate, to ensure that the information that is to be conveyed is correct and that the nature of the presentation is not apt to be detrimental to the best interests of the Institute. If the VIMS position that is to be communicated has been widely distributed in the public domain and is incidental, as opposed to central, to the presentation, the need to confer with the Dean and Director or other senior administrator is waived.

Individuals called upon to make formal presentations to state or federal agencies generally should confer with the Director for Research and Advisory Services well in advance of the presentation. Presentations or testimony before the General Assembly of Virginia can have significant implications to the Institute’s programs and budget and must be cleared by the Dean and Director or Director for Research and Advisory Services. Any communications relating to legal, regulatory, policy, or potentially political issues are part of the Institute’s mandated state services and must be coordinated with the Director for Research and Advisory Services and the Dean and Director.

This Policy and Procedure Document does not apply to the normal scientific communication, such as peer-reviewed papers and talks at professional meetings, that are a routine part of scientific activity except that if and when appropriate, the presenter should be sure to indicate that the ideas are those of the individual and may not represent the judgement or position of VIMS.

Again, the intent of this Policy and Procedure Document is not to limit the ability of an individual to speak to any forum but is to ensure that VIMS is properly represented.

See Policy and Procedure Document 0005 concerning Receipt and Acceptance of Summons.

Date: July 1, 2009, rev May 7, 2010
All non-minor absences from the workplace during normal duty hours require, at a minimum, that the individual’s supervisor or designee be notified and some, usually longer, absences require specific pre-approval. Individuals who regularly work at home or tele-commute should confirm the arrangement with the department head. Tele-commuting must be in accordance with state and university regulations as indicated in VIMS Policy and Procedure Document 1005. Work related travel requires specific authorization, see VIMS Policy and Procedure Document 0017. The Departmental Business Managers can provide information concerning the proper forms and procedures for reporting and requesting leave.

Date: July 1, 2009
The purpose of this Policy and Procedure Document is to provide the basic procedures for handling mail at the Virginia Institute of Marine Science.

The Mail Room is the focus of activity concerning the handling and distribution of mail. The usual operating hours of the Mail Room are 10:00 a.m. through 3:00 p.m on days when the Institute is open for routine business.

This Policy and Procedure Document considers three basic types of mail:

1: Campus Mail. Campus mail is that exchanged between the York River Campus, the Eastern Shore Campus, the Topping Campus, or the Williamsburg Campus of the College of William & Mary.

2: U.S. Mail: U.S. Mail is all mail received or sent from any campus of the Virginia Institute of Marine Science through the U.S. Postal Service.

3: Courier Service Mail: Courier Service Mail refers to small, “letter-sized” packages sent by private courier services such as United Parcel Service (UPS).

During the check-in process, all persons, faculty, staff, student, volunteer, or extended term visitor, new to the Virginia Institute of Marine Science shall contact staff in the Mail Room to determine how that person’s mail should be routed. Additionally, whenever there is a change in duty station such that there would be a change in mail routing, the affected person should contact the staff of the Mail Room to initiate the routing change. The site to which an individual’s mail will be distributed will be determined by the individual’s supervisor and will be a site in reasonable proximity to the individual’s duty station. The staff of the Mail Room will assure that incoming mail for all individuals on campus will be sorted to the appropriate distribution route. VIMS should not be used as an address for receiving personal mail.

There will be only one trip per day to the U.S. Postal Service Office at Gloucester Point. That will be at 12:00 noon and will be both to deliver outgoing and collect incoming mail. Outgoing mail received at the Mail Room after noon will be processed and postmarked on the next business day. Mail will be ready for pick-up at the Watermen's Hall mail room after 1:00 p.m; however on days, such as the first working day following a holiday closure, when there is an unusually large influx of mail, the mail might not be sorted for distribution or pick-up until later in the day. Internal mail generally will be sorted as it is received.

Campus Mail destined for the Eastern Shore Campus is processed regularly. Campus mail bound for Williamsburg usually is picked up on Tuesdays and Thursdays. Persons sending campus mail to Williamsburg should bring it to the Mail Room by noon on those days.

The staff of the Mail Room will sort mail to the various “departmental” mail boxes at the Mail Room. Persons designated by the various Department heads will pick-up the mail from the
Mail-Room boxes for distribution across campus. The specific responsibility of the staff of the Mail Room for distribution of mail ends when the Department head’s designee collects the mail from the Mail-Room box.

The staff of the Mail Room assigns the Mail-Room boxes and provides keys or combinations as appropriate for the locks to the persons designated to collect the mail. The staff of the Mail Room will keep an up-to-date log of the designees.

The staff of the Mail Room will meter only official business mail which either must be in an official VIMS envelope or packaged with a VIMS mailing label. The name of the person sending each item should appear with the return address along with the Banner index for billing on the envelope or label. If at all possible, the outgoing address should be typed and include the ZIP code or postal code. The staff of the mail room is not able to carry personal mail for delivery to the Post Office.

Individuals with large volume or bulk mailing should communicate with the staff of the Mail Room well in advance of the expected mailing date. The organizational unit sending the large or bulk mailing will be responsible for the cost of postage. The organizational unit sending a bulk mailing will be responsible for all processing. Given sufficient notice, the staff of the Mail Room will arrange training in the Postal Service’s bulk mail procedures.

Most Courier Service Mail is handled through Shipping and Receiving. The Mail Room has some supplies, such as document envelopes. There is a drop-box in the east lobby of Watermen’s Hall for out-going United Parcel Service letter packets. All incoming Courier Service mail arrives at the Institute’s shipping and receiving dock and the staff there has the responsibility for notifying the person to whom the item was sent. The staff of Shipping and Receiving can provide assistance in sending Courier Service Mail. The organizational unit sending Courier Service Mail is responsible for the costs of that service.

If an item to be mailed requires special services such as a return receipt and insurance, the person sending that mail should communicate with the staff of the Mail Room. The sender is responsible for the costs associated with USPS Express or USPS Worldwide services.

The Mail Room does not handle chemicals, biological, chemical samples, or any (potentially) dangerous materials. Anyone desiring to send such materials should refer to PPD - 0514. As the regulations controlling the shipment of such items are complex and strict, this communication will help ensure that the shipment will occur without problem or delay.

As part of the check-out process, when a person leaves the campus community, that person should contact the staff of the mail room to make arrangements for forwarding mail. The Institute will not forward mail for more than one month after an individual leaves campus. Persons leaving should notify journals and other parties who regularly send them mail of the change in address.

Date: July 1, 2009, revised January 5, 2010
Number:       PPD - 0015
Subject:      Check-in Procedure

Being revised and updated
Number: PPD - 0016
Subject: Check-out Procedure

Being revised and updated
The policies of the Virginia Institute of Marine Science concerning travel are those of the College of William & Mary, the Commonwealth of Virginia, and, in some circumstances, the federal government. The state and federal regulations as well as the various authorization and reimbursement forms can be found on the “Accounting and Purchasing Toolbox” of the Administration page of the main VIMS website (www.vims.edu/admin/accounting.html). Specific questions concerning the travel regulations should be directed to the Departmental Business Manager.

All VIMS related travel requires authorization. Routine local travel, even if no reimbursement is sought, should be addressed in a “blanket” travel authorization. Failure to obtain the proper authorization before embarking on the travel can result in a denial of reimbursement. An injury that occurs while an individual is on authorized travel likely would be eligible for Workers’ Compensation while an injury that occurs while the individual is on travel that had not been authorized might be denied Workers’ Compensation as there could be the perception that the individual was on an unauthorized absence from work. Prior authorization of travel also helps assure that there are sufficient funds available for reimbursement. Because state regulations limit the number of persons who can go to the same out-of-state meetings, seeking prior authorization allows the opportunity to determine if that is the case and if it is to seek the necessary exemptions.

In order to allow sufficient time for review, travel requests should be submitted as far in advance of the proposed dates of travel as possible. As travel outside of the United States requires additional authorizations, in some cases from the State Secretary of Education, it is essential that the authorization request be submitted substantially in advance of the proposed dates of travel.

Requests for reimbursement for approved travel should be submitted along with the required documentation as expeditiously as possible upon return.

Date: July 1, 2009
Records Containing Confidential Information

Employees who work with confidential information at the Virginia Institute of Marine Science have an obligation to ensure the security of any such information in the Institute’s custody in all forms, no matter if that information is contained electronically, on paper, or in any other format. Confidential information means any information not exempted in specific legislation and identified as personal, sensitive, or confidential. Such information includes, but is not limited to, Social Security numbers, education records, performance evaluations, letters of recommendation, Governor’s Confidential Working Papers, certain financial information, and account information, e.g., identification numbers, credit or debit card numbers, access codes, and passwords. The Office of the Dean and Director can provide assistance in determining whether a document or class of information should be considered “confidential.”

Some common strategies for protecting the security of confidential records include:

1. Store documents containing confidential information in lockable drawers or cabinets.
2. After faxing or making copies, check to be sure the original document has not been left behind.
3. Do not leave doors to offices unlocked or files containing confidential information unattended.
4. Do not share passwords used to access email, databases, websites, and other electronic resources.
5. Logout or lock terminals (Ctrl, Alt, Del.) to protect information when away from the computer.

How Long to Keep Records

The provisions of Virginia’s Public Records Act govern the majority of materials created in or received by university offices (other than exempted Library reference materials) and the law mandates further that no material that falls under the definition of public records may be destroyed without permission. There are legal penalties for destroying records without official authorization. Records retention schedules identify and describe an organization's records and provide instructions for the destruction or transfer of records throughout their life cycle. These schedules are maintained by the Library of Virginia and are available at http://swem.wm.edu/scrc/RecordsManagement.cfm
Records Destruction

Effective July 1, 2006, The Virginia Public Records Act was changed to include a provision for the destruction of records created after that date that include personally identifiable information. The Library of Virginia (the agency overseeing records management in the state) interprets “timely manner” to mean that records scheduled for destruction will be destroyed no later than the end of the year (calendar or fiscal) in which the retention period expires. Identifying information includes social security numbers, driver’s license numbers, bank account numbers, credit or debit card numbers, personal identification numbers, automated or electronic signatures, and passwords.

All offices must complete the RM-3 Form and submit it to the University Archivist before records can be destroyed. It is critical that offices not destroy records before the University Archivist has approved the destruction of the records. The General Records Retention and Disposition Schedules for Virginia should always be consulted before submitting any records for destruction. Contact University Archives for assistance in preparing records and the proper forms before destruction is carried out.

Confidential Trash

The Institute through The College of William & Mary utilizes the services of a commercial document-destruction company for destruction of confidential trash. “Confidential Trash” is defined as trash that is not part of a record that must be kept in accordance with the state defined “Records Retention Schedule.” Material appropriate for confidential trash may include personally identifiable information of individuals, such as social security numbers, addresses, birth dates, etc. Confidential trash can also be defined as multiple copies of a document or drafts of documents that have errors that will not become part of a record. The corrected document will become the record copy. Anything that does not fall under the “trash” guidelines is subject to the Records Retention Schedule. Contact the Office of the Dean and Director regarding pickup dates for confidential trash.

Questions Regarding Record Management and Destruction

Contact the University Archivists at the Main Campus for answers to questions regarding the management or destruction of Institute records.

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Contact the University Archivist at the Main Campus for answers to questions regarding the management or destruction of Institute records.

Date: July 1, 2009
The Virginia Institute of Marine Science has established an *Inclement Weather Policy* to provide faculty, staff, and students with uniform guidelines and to adhere to the Commonwealth of Virginia’s policy on the same subject.

**I. DEFINITIONS**

A. **Essential Employees** - Employees identified as being required to work during periods of authorized closings.

B. **Non-Essential Employees** - Employees who are not required to work during periods of authorized closings.

C. **Authorized Closing** - The period of time VIMS operations are officially closed and non-designated employees are not required to work. Such closings may be authorized for an entire workday or a part of a workday.

**II. CLOSING DECISIONS**

Decisions to close VIMS facilities to the general public and/or students, staff, and faculty will be determined by the Dean and Director or, in his absence, the Director of Operations, Support Services and Special Projects. Authority to close the Eastern Shore Laboratory rests with the Director of that facility who will notify the Dean and Director of any decision to close or delay opening.

The Director of Facilities Management will contact the Dean and Director or his designee regarding the weather conditions at the Gloucester Point campus at approximately 5:00 a.m. The Dean and Director will then render a decision on closure or delayed opening. The Director of Facilities will contact the Telecommunications Manager by 5:15 a.m., providing instructions regarding the Institute’s opening. The Telecommunications Manager will be responsible for communicating decisions regarding closing facilities to the VIMS community.

The Telecommunications Manager will provide the information to local television and radio stations. A list of media outlets will be distributed to the VIMS community each fall. Whenever possible, the decision to close or open late will be made no later than 5:30 a.m.

The purpose of contacting television and radio stations is to inform the VIMS community and general public about closures. Staff should not rely on this source alone. The Institute’s Broadcast System will also be used. Employees should ensure their contact information is current.
III. ESSENTIAL PERSONNEL

Dean and Director, Director for Research and Advisory Services, Dean of Graduate Studies, Director of Operations, Support Services and Special Projects, Chief Administrative Officer, and the Director of Facilities Management are considered to be Essential Personnel.

The Dean and Director may identify other employees as essential. The Director of Facilities Management may also identify other employees in his/her unit as essential in particular circumstances based on the nature and severity of the situation.

IV. NOTIFICATION OF CLOSING

The Institute’s main phone line (804) 684-7000 will have a message regarding inclement weather and/or emergencies of any kind that effective the operations of the Virginia Institute of Marine Science. This message will be updated if late openings and/or all-day closings are required. When a late opening or closing is deemed necessary the message will be updated by 5:30 a.m. on that day. Additionally, the Emergency Notification System will be used in inform employees.

V. INDIVIDUAL AWARENESS AND TRANSPORTATION DIFFICULTIES

Members of the VIMS community should be aware of the circumstances of a weather closure. When the campus is closed, the usual safety and support systems are not available. The presence of vehicles makes removing snow from parking lots more difficult. As walkways may not have been cleared, they may be slippery and unsafe.

When inclement weather conditions create transportation difficulties, employees should be granted up to one hour for late arrival. Such lost time will not be charged against leave balances. Should an employee choose not to report to work because of weather conditions, the time will be charged to his/her annual, compensatory, or family personal leave balance. Employees should use this policy to their own discretion in hazardous travel situations.

Date: July 1, 2009, rev February 15, 2010, rev May 6, 2010
Number: PPD - 0020
Subject: Business Cards

Business cards for faculty and staff of the Virginia Institute of Marine Science should be obtained through the Communications Department.

Business cards will be set to a standard design determined by the Communications Department.

Date: July 1, 2009
In an effort to provide a readily apparent description of duties and responsibilities, many individuals on both staff and faculty choose to use informal “working titles” in place of or in addition to their official, formal titles. For example, a Marine Scientist II might choose to identify herself as a “GIS Specialist.” In many situations this is fine and serves the beneficial purpose for which it is intended; however, in some circumstances the wording of the informal title may have additional, perhaps inappropriate and unintended, effects. In order to minimize the likelihood of such consequences, self-assigned, informal working titles must be approved by the individual’s department or center head.

Additionally, because specific words in titles also convey information about organizational structure, care must used in the selection of words. Specifically, the use of the term Director, including Associate Director or Assistant Director, is limited to positions that report immediately to the Dean and Director of the Virginia Institute of Marine Science with the exception that some positions that report straight to a Director with the concurrence of the Dean and Director may have the title Associate Director or Assistant Director, e.g., Assistant Director for Advisory Services. Individuals with supervisory responsibilities beyond those usually associated with their official titles, with the concurrence of their department or center head, may elect to use Head, Supervisor, or Program Manager as part of their informal, working titles, for example someone might choose to self identify as an “Associate Professor and Head of the XXX Laboratory (or Program)” or “Manager of the XXX Program.” Questions about titles not resolved by Department or Center heads should be referred to the Director for Operations, Support Services and Special Projects.

Date: March 17, 2009
Rev: May 2010
The Virginia Freedom of Information Act (FOIA), § 2.2-3700 et. seq. of the Code of Virginia, guarantees citizens of the Commonwealth and representatives of the media access to public records held by public bodies, public officials, and public employees.

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

The policy of FOIA states that the purpose of FOIA is to promote an increased awareness by all persons of governmental activities. In furthering this policy, FOIA requires that the law be interpreted liberally, in favor of access, and that any exemption allowing public records to be withheld must be interpreted narrowly.

The Act contains timing and response requirements which must be strictly followed by the Institute. The Institute must assure compliance with all legal requirements and assure consistency in procedures to address all FOIA requests. A FOIA request can be delivered in the form of a letter, memorandum, email or voice communications. Various actions are required within five business days. Therefore, when a FOIA is received the individual receiving the request must immediately inform the VIMS FOIA Officer, or the designated alternate FOIA Officer in the absence of the FOIA Officer.

The FOIA Officer will act as the liaison to the parties requesting the information and will work with VIMS’ faculty and/or staff in possession of the information to assure timeliness, consistency and accuracy in all FOIA responses.

Date: July 1, 2009
The Dean and Director of VIMS allocates office, laboratory, and storage and other work space, whether inside or outside, to the various departments, research centers, and service centers. To assist with this task, the Dean and Director has established the Advisory Committee on Space Allocation and Utilization (the Space Committee). In most circumstances, the Director of the Eastern Shore Laboratory will manage the allocation of space at that facility.

The Director for Operations, Support Programs, and Special Projects serves as Chair of the Space Committee. The other members of the Space Committee are the Chairs of the (academic and research) departments, the heads of the major Research Centers, the Director for Research and Advisory Services, the Director for Safety and Environmental Programs, and the Director of Facilities Management.

The Space Committee will meet as needed and will advise the Dean and Director on major issues related to the utilization and allocation of space. In general, minor changes within a department or such that result in no net change in the amount of space utilized by the department, e.g. swapping offices, do not require action by the Space Committee. Approval of such actions is the domain of the appropriate Department Chair or unit head. At its discretion, the Space Committee may review the utilization of any area and, if appropriate, recommend changes. If all parties affected by any actions of the Space Committee are in agreement, the action can go forward without further deliberation. If any party affected by the proposed action disagrees with the recommendation of the Space Committee, the Chair of the Committee will forward the matter to the Dean and Director for resolution.

Because space is a limited resource and the demands for that resource vary over time, the following policies are established to assist with the equitable allocation of space.

Laboratory, storage, office, and other work space vacated by a faculty member or researcher who departs VIMS is to be considered part of a common pool of such spaces to be administered by the Dean and Director with the advice of the Space Committee. Specifically, the vacated areas should not be considered to be held by the department or center of the departed employee for a replacement. Requests for short-term use of the vacated space should be brought to the Space Committee through the appropriate member. Eventual disposition of the vacated area will be determined subsequent to decisions about new hires.

All storage space whether indoors or outdoors is allocated for terms not to exceed two years. Requests to use or continue to use storage areas should be brought to the Space Committee through the appropriate member.
Visiting Scientists are professional colleagues who reside on a campus of the Virginia Institute of Marine Science, interact with faculty, students, and staff while involved in research yet are not paid employees of the Institute or College. They may be at VIMS while they are on sabbatical or similar leave from their home institutions or they may have retired from an academic or research institution and now live in the vicinity of a VIMS campus. Because the active presence of Visiting Scientists is beneficial both to VIMS and to the visitor, the Institute encourages and supports such activity as long as space and facilities are available.

Although Visiting Scientists are not employees, they do utilize institutional resources and must have direct connections to the organizational structure. Additionally, it is beneficial to document and maintain a record that an individual has been a Visiting Scientist. To that end, each Visiting Scientist must have a Host or Host Department, in which case the Department Chair will serve as Host, who will facilitate the visitor’s period of residence. The Host will co-sign the Application for Visiting Scientists and will guide the visitor through the initial introduction to the Institute’s personnel and structure. Persons seeking to host a Visiting Scientist must obtain permission of the Department Chair, who is responsible for the allocation of space and other resources, and from the Dean and Director who will consider the overall impact on the Institute and who will maintain records of Visiting Scientists. The form for Application for Visiting Scientists is appended to this document. By its nature as a temporary position, individual status as a Visiting Scientist usually continues for a year or less. In some instances, such as a retiree from another institution, the status may continue for a longer period, however, the status of an individual as a (long term) Visiting Scientist must be reviewed by the Department Chair and the Dean and Director on a yearly basis. Status as a Visiting Scientist carries no rights and privileges as a faculty member or employee. The Visiting Scientist has no voice or vote in meetings of the Faculty, may not teach or co-teach courses without obtaining separate authorizations, may not submit proposals for research funding citing the Institute as a home institution (though the Visiting Scientist is encouraged to co-author proposals with VIMS faculty). It is anticipated that each Visiting Scientist will present a departmental or general seminar open to the campus community. Status as a Visiting Scientist may be terminated at any time and for any reason by the Dean and Director.

Visiting Scientists must go through an abbreviated sign-in procedure including basic safety and right-to-know training. The Manager of Telecommunications and primary telephone console attendant need to arrange for a telephone extension. If the Visiting Scientist requires either a VIMS email address or a wired computer connection, the host must make appropriate arrangements with the Department of Information Technology and Network Services (ITNS); even if the Visiting Scientist will use only a wireless connection to the Institute’s computer network and will function through the “guest” login access, the Visiting Scientist should contact
the staff of ITNS. Further arrangements will need to be made for appropriate identification, library sign-out permission, and office access and keys, among other things.

Date: July 1, 2009
Rev: May 6, 2010
APPLICATION FOR STATUS AS A VISITING SCIENTIST
AT THE VIRGINIA INSTITUTE OF MARINE SCIENCE

It is proposed that ________________________________ be granted status as a Visiting Scientist at the Virginia Institute of Marine Science for the period beginning ________________ and ending ________________.

____________________________________ will serve as Host to the Visiting Scientist and recommends the award of that status.

Home institution and department: ________________________________

Visiting Scientist: ________________________________
(Signature) (date)

Field of research:

ANTICIPATED ACTIVITIES, NEEDS, ETC.

Nature of proposed activities while a Visiting Scientist at VIMS:

Facilities and resources that it is anticipated VIMS will provide:

Arrangements (if any) for external funding:
INFORMATION ABOUT THE VISITING SCIENTIST

Contact and Residence information while at VIMS (complete when known)

Local Residence address: _________________________________________

_________________________________________

Local telephone number:  __________________________________

Home address _____________________________________

_____________________________________

Person to contact in case of emergency and contact information

_____________________________________

_____________________________________

_____________________________________

VIMS AUTHORIZATIONS AND APPROVALS

Host:
I agree to serve as Host (primary point of contact) for the above named Visiting Scientist:

(print or type name) (signature) (date)

Department Chair:
I have reviewed this application for Visiting Scientist status including the estimation of resources that will be required and recommend the award of that status as described above:

(print or type name) (signature) (date)

Dean ane Director:
I approve the award of Visiting Scientist status as described above:

(print or type name) (signature) (date)
All storage areas whether inside or outside, and laboratories should be clearly labeled with the name of the faculty member or researcher responsible for the space and basic contact information should it be necessary to contact someone about that space.

Date: June 1, 2010
Policy and Procedure Document  
Virginia Institute of Marine Science  
College of William & Mary

Number: PPD - 0026  
Subject: Space Allocation for Non-VIMS Entities

BACKGROUND: As VIMS becomes increasingly engaged in advisory service activities involving external entities such as private companies and foundations, situations may arise when collocation of those organizations within the VIMS campus could be part of an effective and efficient method for training and outreach. This document has been developed to ensure consistency in selecting external partners and to provide guidelines for institutional units involved in these activities.

Outside entities should be physically accommodated within the VIMS campus only in instances when both the Institute and the external organization can benefit from the collaborative effort. A written request must be submitted to and approved by the Office of the Dean and Director prior to committing use of institutional facilities. In most circumstances, VIMS internal uses will have priority in the allocation of space and resources on campus. Space and resources will be provided to external entities only if that use can be accommodated without disruption of regular VIMS activities.

GUIDELINES: The following issues must be addressed before allocating VIMS space and support:

1. The organization’s mission and activities must complement VIMS research and advisory service activities.
2. The organization and VIMS partner unit must develop a written plan describing proposed joint activities. The description must include a discussion of how the collocation will enhance VIMS mission and assist the external organization.
3. In addition to an explanation of the reason for the collocation, the plan should include:
   a. An estimate of the value of the contribution from each partner and a description of any anticipated financial transactions between the cooperators
   b. Details of the area to be occupied including location and current utilization of the space
   c. Facilities and administrative resources to be provided by VIMS
   d. A schedule of planned activities, including an estimate of the length of the on-campus interaction
4. Participants from the external organization will:
   a. Attend any mandatory training programs required by VIMS
   b. Follow Safety Regulations established by VIMS
   c. Be responsible for addressing any other campus requirements such as parking and off-hours access
   d. Sign and submit required forms for working on campus including a waiver of liability
**DOCUMENTATION**: The partner unit at VIMS is responsible for preparing the written request and explanation for on-campus collocation activities. The request should be forwarded to the Office of the Dean and Director. Approval by that office is required prior to allowing external entities to move onto the VIMS campus. If approved, a copy of that signed form must be signed by the appropriate representative of the external organization and the head of the VIMS partner unit.

A copy of a checklist/sign off form is attached.

Date: July 1, 2009
ON-CAMPUS COLLOCATION CHECKLIST

(Use additional pages as necessary)

NAME AND DESCRIPTION OF EXTERNAL ORGANIZATION:
Include name and number of participants.

DESCRIPTION OF ACTIVITIES TO BE CONDUCTED ON VIMS CAMPUS:
If this is part of an externally supported project, include a copy of the proposal as approved by the funding agency.

FUNDS/SUPPORT SERVICES TO BE PROVIDED BY VIMS:
Specify space to be occupied or utilized by the external entity.

FUNDS/SUPPORT SERVICES TO BE PROVIDED BY EXTERNAL ORGANIZATION:

DATES OF REQUESTED ACCESS: From: To:
If this schedule changes, please notify the Office of the Dean and Director.

APPROVALS:

______________________________ ___________________________
Dean and Director Date External Partner

___________________________
VIMS Department Chair

If approved, it is the responsibility of the VIMS cooperating unit to confirm that a VIMS Check-In Sheet has been completed and on-file prior to allowing external participants access to facilities.
In recognition of the need for continuity in research programs and the need for retiring faculty members to finalize research products, the Virginia Institute of Marine Science will make every attempt to provide office space for emeritus faculty if requested to do so.

Office space will be provided depending upon space needs of the Institute; it is not guaranteed. Office assignments will be determined by the Space Committee.

If available, space initially will be provided for two years. Continuing use of office space by emeritus faculty may be requested at two-year intervals.

Date: July 1, 2009
The Vehicle Use Policy of the College of William & Mary includes vehicle use at the Virginia Institute of Marine Science. The text below specifies minor differences that are appropriate for implementation of that policy at VIMS. The Vehicle Use Policy of the College is available at http://www.wm.edu/about/administration/senioradmin/adminoffice/riskmanagement/vehiclepolicy/index.php.

For the purposes of the Vehicle Use Policy, graduate students at VIMS are considered to be employees or staff members.

In section III A 16, at VIMS vehicle users must complete the training program in the Vessels Service Center before being authorized to tow any trailer.

In section VI B, at VIMS auto accidents must be reported to the driver’s immediate supervisor, the department or center head, Facilities Management, and the Institute’s Risk Manager.

Questions about the general College policy should be referred to the Risk Manager on the Williamsburg campus.

Date: October 1, 2009
VIMS Media Relations Policy

Purpose and Scope

As an integral part of its mission, VIMS has a continuing responsibility to keep the public informed of its programs, activities, and research. The Communications Department is the official VIMS outlet for initiating contact with and providing information such as news releases to representatives of the media. The Communications Director is an official spokesperson of VIMS.

This policy covers all communication to the media made in an official capacity, including, but not limited to, formal statements, interviews, press conferences and briefings, op-ed pieces, letters to the Editor, news releases, media advisories, technical announcements, and other information or material given to media representatives, a collective term that includes, but is not limited to, reporters, editors, and writers for newspapers, magazines, and trade publications; radio and television stations or networks and online news services; and any other electronic or print media related to news distribution that could serve as an information outlet.

Individuals within the VIMS community who are contacted by members of the media are under no obligation to provide information whether on or off the record. Individuals who do choose to communicate with the press should be careful to indicate that the statements given are those of the individual and are not official statements of VIMS or William & Mary. While it is not the intent of this Instruction to limit freedom of speech, persons communicating with the media should be careful not to release information that would impede or harm the research, academic, and other programs of the Institute. Findings provided to media representatives should refer to data and information that are peer-reviewed and publicly available. Preliminary data and information concerning on-going studies should be identified as such. Information that is in some way proprietary should not be released except with the explicit approval of the appropriate authorities. Persons communicating with the media should be mindful that their words and actions will be identified with VIMS.

Because accurate tracking of VIMS media exposure is important to effective operation and planning within the VIMS Communications Department, anyone at VIMS who has contact with the media is strongly encouraged to report the contact to the Communications Director and, if appropriate, to other administrators. An on-line form for reporting media contacts is available at www2.vims.edu/newsmedia/mediacontacts.html or via the Media Contact link on the VIMS Forms page (www.vims.edu/intranet/forms).
Non-Advocacy.

VIMS’ reputation for excellence is based in large part on its neutrality and the unbiased and impartial nature of its information. All VIMS products, materials, and communications with the media must remain neutral and not advocate, persuade, sanction, or prescribe actions. Media issues regarding appropriations, program funding, and pending legislation must be referred to the Dean and Director or Director or Research and Advisory Services and the Director of Communications.

Delegation of Authority

College of William & Mary Department of University Relations: The Department of University Relations at W&M has primary responsibility for media relations pertaining to college-level issues (see Review and Approval).

VIMS Communications Department: The VIMS Communications Director has responsibility and authority for all media relations directly related to VIMS, including the review and approval of news releases and other material released to the general public through the media or VIMS web site, as well as crisis communications. All administrative units under the oversight of VIMS, including the Eastern Shore Laboratory, Kauffman Aquaculture Center, and research centers are responsible for following the review and approval procedures of the VIMS Communications Department in accordance with the VIMS Media Relations Policy. The College of William & Mary’s Office of University Relations has delegated this responsibility to the VIMS Communications Director.

Sea Grant, CBNERRVA, NOAA CBO, CMER: All federal partners that share the VIMS campus are responsible for following the review and approval procedures of the VIMS Communications Department in accordance with the VIMS Media Relations Policy for activities in which VIMS has provided 50% or more of the funding, manpower, or in-kind support.

Exceptions

Timely, efficient release of breaking news and information during crises, such as natural disasters or personnel tragedies, often requires swift dissemination of information to support public confidence. In these cases, units other than the Communications Department may issue a brief statement or media advisory to the media in place of a news release. In such cases, the originating unit acts at its own discretion in approval and release, but must provide the VIMS Communications Department with copies of any such release of information concurrent with its release to the media.

Review and Approval

College-Level News Releases: College news is defined as information dealing with issues directly related to the College of William & Mary, the College President, and other high-level members of the W&M administration; or involving Presidential policy, pending legislation before the Commonwealth, or controversial issues. The VIMS Communications Director will
determine if any college-level approval must be obtained for VIMS releases, and must approve all VIMS-related college-level news releases issued by W&M. The VIMS Communications Director will forward all news releases that require College approval to the Dean and Director, the Vice President and Associate Vice President for Public Affairs at W&M, the W&M Director of University Relations, and, as appropriate, to the President’s Office and Director of Government Relations at W&M.

VIMS-Level News Releases: VIMS news is defined as information dealing with issues specific to VIMS, the Eastern Shore Laboratory, and/or the Kauffman Aquaculture Center, or citing the Dean and Director or other high-level VIMS administrators. The VIMS Communications Director is responsible for the approval, coordination, and distribution of all VIMS news releases.

Federal-Level News Releases: Federal news is defined as information dealing with issues specific to Sea Grant, CBNERRVA, NOAA CBO, ACOE, or any other federal agencies that share the VIMS campus or collaborate in VIMS programs. Public-relations personnel within these agencies are responsible for the approval, coordination, and distribution of all news items that deal primarily with agency actions. For news items that report on collaborative federal-state activities in which VIMS plays a leading role, review and approval authority rests with the VIMS Communications Director in accordance with the VIMS Media Relations Policy.

Opinion Pieces ("op eds") and Letters to the Editor: Any opinion letter or letter to the editor, written in an official capacity (that is citing the individual’s affiliation with VIMS), must be sent to VIMS Communications Director for approval before it is submitted to the media outlet. These communication pieces may require further approval by the Dean and Director and/or Director of Research and Advisory Service.

News Release Style and Format

All news releases that use the VIMS logo must use the most-recent, official version, which is available from the Publications Center and on-line at www.vims.edu/intranet/communications/pubs/logos

All news releases must conclude with the following statement: The Virginia Institute of Marine Science (VIMS) has a three-part mission of research, education, and advisory service. The VIMS School of Marine Science (SMS) is the professional graduate school in marine science for the College of William & Mary. Chartered in 1940, VIMS is currently among the largest marine research and education centers in the United States.

Date: July 1, 2009, rev May 7, 2010
Media Products for Non-Science Audiences

Purpose and Scope

This document provides policies and procedures for producing media and products for non-scientific audiences. The provisions of this section apply to posters, CD-ROMS, DVDs, podcasts, PowerPoint presentations, exhibit booth displays, audio and video recordings, web pages and other digital media, motion pictures, and similar products that are produced by or attributed to the Virginia Institute of Marine Science (VIMS). Included are media products produced cooperatively by VIMS and a private organization. Also included are public service announcements.

Policy

VIMS public-dissemination products in any medium or format require approval by the Director of Communications and must conform to the VIMS permissions policy (PPD-0044). It is VIMS’ policy to subject products intended for public audiences to the same high standards for accuracy that govern VIMS’ peer-reviewed publications and to ensure that the products are appropriate in content and form for their intended audience.

Exceptions

This section does not apply to information and products (such as journal articles, technical reports, observatory data, scientific posters, legislative testimony or briefings, or presentations to scientific colleagues) that are intended primarily for other scientists or policymakers and are typically subject to peer review, or to productions by private organizations produced in cooperation with VIMS or sponsored in part by VIMS through grants or cooperative agreements, provided that the VIMS contribution does not exceed 50% of the total production costs.

General Procedures

To minimize duplication or fragmentation of effort and to encourage coordination, the initiating unit must contact the VIMS Communications Department as early in the planning process as possible, and no less than 2 weeks before the product is printed, duplicated, displayed, or broadcast.

Media prepared by or for VIMS may be available for public showing, provided that: (1) use of the material does not imply endorsement by VIMS of a commercial product or service or
of the particular viewpoint of a commercial firm or special-interest organization, and (2) the public is not charged a fee expressly and exclusively for viewing the product.

The VIMS logo will be shown at the opening or close of a motion picture film, slide show, or recording (See PPD-0043, VIMS Visual Identity System). Credits for producers and directors, whether VIMS staff or outside contractors, will be appropriate in size and placement.

When VIMS is named in the narration accompanying a recording, slide show, or film, it will be identified at least once as part of the College of William & Mary.

The VIMS Communications Department may develop more detailed policies or guidelines to oversee production of public products within VIMS. Current guidelines governing public media involve a product that

- Is designed for mass-media viewing by large numbers of people (e.g., television, public lectures, etc.)
- Anticipates distribution of more than 100 copies
- Deals with an issue sensitive to VIMS or W&M policy.
- Includes music (there are regulations on the use of copyrighted or original music).
- Features a professional narrator from outside VIMS.
- Requires more than 40 hours of pre- and post-production time.

VIMS employees who authorize the use of state or federal funds for the production of a public product will be accountable for meeting all VIMS, College of William & Mary, and other applicable regulations such as copyright laws, proper use of visual identification, contract management, and appropriate distribution to the public.

Authorization

Prior to beginning work on a public media product, the initiating unit must contact the Director of Communications for approval with a detailed explanation of the proposed product. Prior to duplication of the completed product, the initiating organization will work with the VIMS Communications Department to arrange a selected date and venue for final approval.

Periodic Review

All persistent public media (e.g., films, CDs, DVDs, web sites, and print materials) will be reviewed by the responsible division annually, and those deemed unsuitable for further circulation or broadcast will be retired. All audiovisual records are to be maintained and disposed of in compliance with approved records-disposal regulations. Projects taken out of circulation should be reported to the Communications Department.

Date: July 1, 2009
Purpose and Scope

This Policy and Procedure Document presents the requirements for the use of the Virginia Institute of Marine Science Visual Identity System (VIMS VIS), including all applicable guidelines and specifications established at

[www.vims.edu/intranet/communications/pubs/vis](http://www.vims.edu/intranet/communications/pubs/vis).

Items such as the VIMS logo and the logos for the various research centers and areas are the major elements of the VIMS VIS.

Policy

Compliance with the Virginia Institute of Marine Science Visual Identity System is required in the planning, design, and production of all VIMS science, information, communications, and identification products. These products include, but are not limited to, print and electronic information products, Web pages, exhibits, slide-show presentations, interior and exterior signs, vehicle and equipment identification, business cards, official clothing, and education materials. System elements such as the trademarked VIMS logo, web-page design templates, product specifications, typography, and suggested color palette must be properly used when creating VIMS products. Digital templates that adhere to the Visual Identity System are available for many products through the VIMS Publications Center (see [www.vims.edu/intranet/communications/pubs](http://www.vims.edu/intranet/communications/pubs)).

Logos or similar items that identify individual research, educational, administrative, or other areas within VIMS must be approved by the Director of Communications before they are put into use.

Responsibilities

The VIMS Communications Department is responsible for all policy related to the VIMS Visual Identity System. This responsibility includes oversight of Visual Identity System-related work performed by various VIMS departments or units. The Communications Department, working in coordination with various VIMS departments or units, also provides advice and guidance on visual identity-related issues. The Communications Director is the final authority on changes or updates to the Visual Identity System guidelines, specifications, and templates for all VIMS products.

The Dean and Director, Director of Research and Advisory Services, Department Chairs and Center Heads, and their designees are responsible for ensuring that VIMS Visual Identity System guidelines are implemented and problems are addressed and resolved during the product review or approval stage, prior to production.
Product designers are responsible for accurately applying the VIMS Visual Identity System and all applicable guidelines and specifications to their work, regardless of product medium.

Contracting officers, administrative officers, and facilities managers are responsible for adhering to the VIMS Visual Identity System guidelines in procurement and utilization. Publication managers, editors, and authors involved in preparing print, electronic, or other communication materials for publication are responsible for ensuring the accurate and appropriate use of the VIMS Visual Identity System in the design and production of those materials, regardless of medium, and for coaching and advising employees on the use of the VIMS Visual Identity System as needed.

Managers are responsible for the accurate and appropriate use of the VIMS Visual Identity System in all materials that they approve and for ensuring that action is taken to correct any product that is designed or produced without adherence to the VIMS Visual Identity System guidelines. Managers should champion accurate use of the VIMS Visual Identity System in print, electronic, and other products produced in or on behalf of their program area.

Date: July 1, 2009, rev May 7, 2010
VIMS Permissions Policy

VIMS permits publication of its images in brochure, newsletter, newspaper, magazine, book, postcard, calendar, broadcast, WWW page, and CD-ROM formats. VIMS images may be used at no cost for public service or educational purposes but may not be used for resale, advertising, or in any other manner that constitutes or implies VIMS endorsement of a commercial product or activity unless specific written permission is obtained from the VIMS Communications Director. The user cannot copy, modify, alter, and/or enhance these images for any purpose whatsoever, unless specific written permission is obtained from the VIMS Communications Director.

“VIMS images” are defined as any still or moving images that are captured by VIMS staff and students during the conduct of VIMS-sponsored activities.

Where VIMS images are reproduced they must bear the credit: Virginia Institute of Marine Science.

VIMS websites are not copyrighted, and may be linked to from other websites, including individuals' personal web sites, without explicit permission from VIMS. However, such links may not explicitly or implicitly convey VIMS’ endorsement of commercial goods or services. VIMS images may be used as graphic "hot links" to VIMS websites, provided they are used within the guidelines above. This permission does not extend to use of the VIMS logo.

Terms and Conditions

The images available via the VIMS website (www.vims.edu) and other sources at VIMS are available free of charge for public service or educational purposes. All materials are provided under the following conditions and recipients of such materials agree to be bound by all of the following forms and conditions:

- The following credit line is mandatory with use of any and all VIMS materials unless the VIMS Communications Director grants permission to the client for use of part of a credit line. CREDIT: Photographer's name (if known) / Virginia Institute of Marine Science. Omission of credit line with VIMS images without express written permission of VIMS Communications Director potentially subjects client to legal action.
- Client will not make or permit any alteration, additions, or subtractions in respect of the materials, including, without limitation, any synthesisization of the images, alone or with any other material, by use of computer or other electronic means or any other method or means now or thereafter known, unless specific written permission is obtained from VIMS.
• Client accepts full liability of its principals, employees, agents, affiliates, printers, and successors for damage or misuse of images.
• Client shall provide to VIMS two free copies of uses appearing in print or electronic productions.

Date: July 1, 2009
In order to assure appropriate public recognition of VIMS and its mission and accomplishments, any and all printed materials such as but not limited to booklets, pamphlets, and reports describing or reporting upon activities of VIMS or any of its component elements, such as research centers, intended for distribution outside of VIMS must clearly and obviously display some element of the VIMS Visual Identity System (PPD-0043) on its cover and elsewhere as appropriate. The design of such materials must be coordinated with the Director of Communications who will assure that VIMS is properly identified as the source of the material.

Date: July 1, 2009
The Virginia Institute of Marine Science has licenses from both the Commonwealth of Virginia, Department of Alcoholic Beverage Control/Alcohol Beverage Control Board and the U. S. Department of Treasury, Alcohol and Tobacco Tax and Trade Bureau that allow the purchase of alcohol (specifically, punctilious ethanol) free of excise taxes. The Dean and Director of the Institute is the named licensee. The tax free ethanol is to be used for scientific purposes only and must not be used for human consumption.

Individuals needing to purchase, use, transport, or ship tax-exempt ethanol should contact either the Dean and Director or the Director for Research and Advisory Programs who, in turn, will refer the individual to the person currently delegated to manage the tax-exempt-alcohol program.

In order to qualify for the tax-exempt status, the Institute must adhere to specific federal regulations governing the storage and dispensation of ethanol and must maintain specific records of these activities. As the financial savings that accompany the waiver of the excise taxes are great and the penalties for not complying with the regulations potentially are large, it is important that there be strict compliance with the pertinent regulations. Federal regulations explicitly forbid the transfer of tax-exempt ethanol to any other person or agency, whether by gift, loan, or sale even if that person or agency is licensed to procure and use ethanol. Giving or loaning alcohol to colleagues at the Williamsburg campus is included in this prohibition. The only exception to the prohibition on transfers is a medical emergency due to a major disaster.

Persons desiring to transport ethanol from the VIMS campus to any off-campus site for VIMS research must conform with the limits on allowable quantities stipulated by the state of Virginia. These regulations also expressly forbid the transfer of ethanol across state boundaries and limit the volume an individual may bring back into the state to one gallon. Researchers with programs that need alcohol in another state must arrange for the original delivery to be in that state. It is the responsibility of the individual investigator to comply with the pertinent regulations of the other state. Under the existing regulations, transportation of ethanol within the state of Virginia (off the VIMS campus) is limited to 3 gallons, "provided that not more than one gallon ...[is] in containers holding less than one-fifth of a gallon."

In addition to the regulations concerning alcohol as a specific product, alcohol falls under EPA and other regulations concerning hazardous chemicals. This set of regulations imposes a complementary set of requirements on the storage, handling, shipment or transportation, and conditions of use of alcohol whether or not it qualifies for the tax-exempt status. The Office of Safety and Environmental Programs can provide guidance concerning these matters.

Date: July 1, 2009, rev May 7, 2010
It is the responsibility of researchers, scholars, and administrators to create and sustain an atmosphere where honesty and integrity in the conduct of research and scholarly activity are paramount.

The policies and procedures concerning scientific misconduct are specified in the William & Mary Faculty Handbook (http://www.wm.edu/about/administration/provost/documents/facultyhandbookAugust2008.pdf). In addition to the regulations of the College, the federal government’s Office of Research Integrity, Department of Health and Human Services promulgates policies and regulations which apply to many government supported research activities. The web page of the Office of Sponsored Research (http://www.vims.edu/about/leadership/sponsored_programs/) maintains links to those policies and procedures.

At the Virginia Institute of Marine Science, concerns about possible scientific misconduct should be brought to the Department Chair, the Director for Research and Advisory Services, or the Dean and Director. The Director for Research and Advisory Services is the senior administrator responsible for enforcing the procedures for dealing with scientific misconduct. Should the Director for Research and Advisory Services for any reason be unable to fill that role, the Dean of Graduate Studies will have the responsibility.

In any incident where there is an allegation of or an inquiry or investigation of scientific misconduct, it is exceptionally important that all aspects of that incident be handled in a confidential manner. Confidentiality and secrecy are necessary elements in the procedures in order to protect all parties, the person making the allegation, the person accused of misconduct, and the Institute’s scientific reputation. However, at certain stages in the process, it may be necessary to notify funding agencies and other parties both internal and external to the Institute. The individual making the allegation must be protected from retribution of any sort except when it is conclusively demonstrated that the charges were maliciously motivated.

A formal assessment of an allegation of misconduct cannot begin until the allegation has been presented in writing to the Director for Research and Advisory Services.

The following is a portion of the section on Integrity in Research and Scholarly Activity from the Faculty Handbook.

Guidelines and Procedures for Dealing with Academic Misconduct

a. Definitions of Academic Misconduct.
Although it may be more specifically defined at the school, departmental, or discipline level, academic misconduct is broadly defined to include fraudulent behavior such as: fabrication or falsification, plagiarism, misappropriation, or other practices that seriously deviate from those that are commonly accepted within the particular scholarly community for proposing, conducting, or reporting research or other scholarly endeavors. It also includes material failure to comply with requirements for protection of researchers, human subjects, or the public, or for ensuring the welfare of laboratory animals, or failure to meet other material legal requirements governing research. Misconduct also includes retaliation of any kind against a person who reported or provided information about suspected or alleged misconduct and who has not acted in bad faith. Further, it can include unwarranted reference to an exonerated case of misconduct or accusations of misconduct when such accusations are made in bad faith. It does not include honest error or honest differences in interpretations or judgments of results of scholarly activity.

More precise definitions of the first three types of misconduct mentioned above are as follows:

1. Falsification ranges from fabrication to deceptively selective reporting and includes the purposeful omission of conflicting data with the intent to condition or falsify results.
2. Plagiarism means appropriating the ideas, methods, or written words of another, without acknowledgment and with the intention that they be taken as the work of the deceiver.
3. Misappropriation which is the unauthorized use of privileged information (such as violation of confidentiality in peer review) for gain (material or otherwise), however obtained.

b. Any member of the College community who becomes aware of an apparent instance of academic misconduct in scholarly activity or research has the responsibility to try to resolve the issue directly with the party or parties involved. If direct consultation is inappropriate or unsuccessful, the Department Chair of the accused or an appropriate administrative officer if the accused has no Department Chair should then be informed immediately. If the Department Chair of a higher administrative officer of the College is the accused, the next higher administrative supervisor will be informed. Inability to successfully resolve the issue at the administrative level requires the initiation of an informal inquiry. In all instances, persons giving information in good faith about questionable conduct should be protected against reprisals.

In all proceedings, it is essential that confidentiality be maintained to the extent practicable. The mere suspicion of wrongdoing, even if totally unjustified, is potentially damaging to an investigator's career. Confidential handling of information about an investigation must be the responsibility of all involved. Thus, information concerning any investigation should be available only to those who need to know. Ideally, an inquiry should remain totally confidential until the results are established with reasonable certainty. Indeed, if the investigation were to conclude that no wrongdoing occurred, the suspicion should be obliterated from memory. However, this ideal is difficult or impossible to attain. Nonetheless, unwarranted reference to an exonerated case, so as to impugn, may, in itself, constitute misconduct. This situation may, however, be made easier by recognizing that scholarly endeavors and results should always be open to inspection, evaluation, and criticism. In this spirit, all involved should be encouraged to accept an investigation of alleged misconduct as part of the process of the search for truth.

Date: July 1, 2009, rev May 7, 2010
All proposals for funding for research that would be conducted under the auspices of the Virginia Institute of Marine Science must be processed through the Institute’s Office of Sponsored Programs (OSP) and approved by the Director for Research and Advisory Services.

Investigators are strongly encouraged to contact the Office of Sponsored Programs as they develop proposals. Early contact and submission well in advance of the funding agency’s filing deadline will greatly ease the process. As noted below, complete proposals must be submitted for review and processing at least 10 days before the deadline.

The general procedures to be followed are as follows; the full set of procedures and forms can be found on the Office of Sponsored Programs web site, (http://www.vims.edu/about/leadership/sponsored_programs/)

At least 10 days prior to the submission deadline:

- Draft/Executive Summary: Forward a digital copy to the Office of Sponsored Programs.
- Budget: Forward a digital copy to OSP (preferably in Excel format)
- If the funding agency requires a specific budget form please use that if possible (OSP has most of these in Excel format, please contact someone in OSP if you need forms)
- Please contact someone in OSP for assistance developing your budget
- Routing and Review: Complete and submit a Proposal Routing and Review Form

Prior to mailing/submission of completed proposal package a VIMS Internal Cover Sheet MUST be on file with OSP. The cover sheet must be endorsed by the following (or designee)

- Principal Investigator and all co-investigators
- Department Chairs of all investigators involved in proposal
- Director of Sponsored Programs
- Director for Research and Advisory Service

Date: July 1, 2009
The management and administration of (externally funded) research projects is a complex and demanding task. Although research funding is awarded to the Institute, the Principal Investigator has substantial responsibilities in assuring that all aspects of the project are conducted in accordance with the various regulations. Matters such as personnel and budget management, regulatory compliance, and the assurance of the integrity of the research are included as aspects of project management and administration.

Principal Investigators, especially those with limited experience, are encouraged to communicate with the Director of Research and Advisory Services, personnel in the Office of Sponsored Research, and the Departmental Business Manager to learn about the practice of project management.

The Office of Sponsored Research assists Principal Investigators and others with these tasks. Information on specific requirements relating to the Policy on Financial Conflict of Interest, the Financial Disclosure and Conflict of Interest Form, and the Intellectual Property Disclosure Form are available on Office of Sponsored Research web site, (http://www.vims.edu/about/leadership/sponsored_programs/)

The web site also has information about or links to various aspects of regulatory compliance including

- the VIMS Radiation Safety Plan and forms
- the William & Mary Institutional Animal Care and Use Committee (IACUC) and its Policy and Procedures for Research and Teaching Involving Live Vertebrate Animals
- On-line Training Program Modules for Animals from the Laboratory Animal Training Association (LATA) and Human Subjects Research and Responsible Conduct of Research from the Association for Research Integrity.

Failure to comply with these regulations carries a very real risk of harm to laboratory personnel and of potential adverse consequences to both the Institute and the individual Principal Investigator.

Date: July 1, 2009
The following information on the assignment of Authorship Credit on Publications is presented for the information of the research community. It is copied from the Office of Research Integrity, Department of Health and Human Services’s publication

**ORI Introduction to the Responsible Conduct of Research** by Nicholas H. Steneck


The names that appear at the beginning of a paper serve one important purpose. They let others know who conducted the research and should get credit for it. It is important to know who conducted the research in case there are questions about methods, data, and the interpretation of results. Likewise, the credit derived from publications is used to determine a researcher’s worth. Researchers are valued and promoted in accordance with the quality and quantity of their research publications. Consequently, the authors listed on papers should fairly and accurately represent the person or persons responsible for the work in question.

**Contribution.** Authorship is generally limited to individuals who make significant contributions to the work that is reported. This includes anyone who:

* was intimately involved in the conception and design of the research,
* assumed responsibility for data collection and interpretation,
* participated in drafting the publication, and
* approved the final version of the publication.

There is disagreement, however, over whether authorship should be limited to individuals who contribute to all phases of a publication or whether individuals who made more limited contributions deserve authorship credit.

The widely accepted Uniform Requirements for Manuscripts Submitted to Biomedical Journals, authored by the International Committee of Medical Journal Editors (ICMJE), sets a high standard for authorship. It recommends limiting authorship to persons who contribute to the conception and design of the work or to data collection and interpretation and, in addition, play an important role in drafting and approving the final publication. Anyone who plays a lesser role can be listed under acknowledgments but not at the beginning of the paper as an author.

Date: July 1, 2009
When listing the Author’s Address on publications, please use the following format. Telephone and email addresses should be included as specified by the journal.

William & Mary should be written with the ampersand (&) and not the word and.

Virginia Institute of Marine Science
College of William & Mary
P. O. Box 1346
Gloucester Point, VA 23062

Date: July 1, 2009, Rev: November 1, 2009
The Chief Administrative Officer is responsible for all aspects of the Institute’s insurance program, whether the insurance is provided by a “self insurance” program, through the State, through a commercial provider, or by any other means.

The Chief Administrative Officer delegates day-to-day operation of the insurance program to the Institute’s Risk Manager except that claims relating to the Workers’ Compensation Program are managed through the Office of Safety and Environmental Programs (see Policy and Procedure Document 0509).

Persons with concerns, needs, or questions about the Institute’s Insurance coverage should contact the Risk Manager. Such concerns would include, among others, claims or potential claims and needs to insure new equipment.
Number:    PPD - 0303
Subject:    Use of "vims-business" and "vims-misc" Group Email

General Principles for Use of "vims-business" and "vims-misc" group email addresses:

The vims-business and vims-misc email addresses are provided by the Information Technology and Network Services (ITNS) Department as mechanisms for broadcasting messages to members in the VIMS community in a timely manner. All persons holding a user id at the Institute are automatically included in the "vims-business" address. Participation in the "vims-misc" (miscellaneous) list is voluntary as individuals can “opt out” of the list. The business list is used to contact everyone at VIMS with important announcements related to VIMS operations and business. The miscellaneous list is used for more casual announcements of upcoming events, lost-and-found items, items for sale, etc., that are not related to the business of the VIMS community. Persons desiring to opt-out of the vims-misc list should do so by using the ITNS Help Request button on the ITNS web page (http://web.vims.edu/cgi-bin/webhelp/helprequest.pl?svr=www).

The intent of the lists is to foster communication and discussion, disseminate information to all in a timely manner, and to reduce the use of paper copy. Users are therefore expected to be considerate of the rights of others and to ensure that their postings are of interest to everyone.

Guidelines:

• Postings to vims-business should be related to VIMS operations or business and of importance or interest to all members of the VIMS community. Special interest postings should be sent to more specialized lists.
• Postings to vims-misc should be of interest to a vast majority of the members of the VIMS community.
• Postings to vims-business and vims-misc should from vims.edu accounts.
• Messages should properly identify the originator by name; the return email address alone is not sufficient.
• Use of another person's user id, or misrepresenting an originator is not allowed.
• Anonymous postings are not allowed.
• Use of either group address for commercial or partisan political purposes, such as circulating advertising for products or for political candidates, is not allowed.
• Messages that harass or intimidate another person are not allowed.
• Be considerate in use of the group addresses as group mailings impact shared system resources. Large messages, forwarded to everyone, put a load on cpu and disk resources. Messages that include graphics or attachments should be avoided for this reason.
• Misuse of the email system is considered a serious offense.

Date:  July 1, 2009
This document presents the process by which cellular telephones and service are to be requested and approved for purchase and establishes guidelines for the use of cell phones at the Virginia Institute of Marine Science. The Institute’s use of cellular telephone services must comply with the requirements of the Virginia Information Technology Association (VITA) and with other state regulations.

VITA has granted VIMS an exception from purchasing cellular service through the Commonwealth’s Alltel Contract. In addition, VITA approved the use of Verizon Wireless products and service through the Federal Supply Systems (FSS) GSA Contract.

In accordance with Commonwealth Accounting Policies and Procedures (CAPP) Manual Topic 20310, the acquisition and use of cellular telephones must be authorized prior to purchase by Dean and Director or an appointed designee. The Dean and Director has delegated the authorization authority to the Telecommunications Manager.

Individual’s requesting new cell phones or the transfer of existing cellular service must submit a written request with the other appropriate approvals to the Telecommunications Manager. The request form can be obtained on the ITNS/Telecommunications website (http://www.vims.edu/intranet/itns/communications). Telecommunications will create the Purchase Order.

VIMS (cell) telephone services are to be used for conducting official business. Any personal use of a VIMS cell phone should be consistent with the Department of Human Resource Management Policy No. 1.75 regarding Use of Internet and Electronic Communications Systems, which is extended to include cell phone usage at VIMS. Reasonable and limited personal use of the cell phone will not be subject to reimbursement to the agency.

Individuals using personally owned cellular telephones may be reimbursed for business calls when that use is shown to be cost beneficial or if the calls were made out of necessity.

Agencies are responsible for safeguarding telephones as are the individuals to whom they are assigned.

Date: July 1, 2009, rev May 7, 2010
Number: PPD - 0350
Subject: Establishment of a Technology Security Program at VIMS.

There shall be established an Information Technology Security program at VIMS that resides within the Dept. of Information Technology and Networking Services (ITNS). The program will follow industry best practices for Information Technology Security as set forth in ISO IEC 27002 (17799). At a minimum, the program will meet the most current version of the Commonwealth of Virginia (COV) requirements (COV ITRM Standard SEC501-101).

There shall also be designated and Information Security Officer (ISO) within VIMS ITNS. The ISO is responsible for implementing the appropriate security controls cooperatively with the Director of ITNS and through the appropriate contacts within the Institute. The ISO will review and revise materials on annual basis, with revisions complete no later than July 1st of each year.

Recognizing that a significant portion of the Information Technology assets utilized by VIMS reside at the College of William & Mary in Williamsburg, the VIMS ISO will serve as liaison to the W&M Information Technology Security Program and participate where appropriate. Likewise, as members of the W&M community, all VIMS Faculty, Staff, and Students are bound by W&M IT Security Policies and Procedures when at the W&M campus or when accessing W&M systems remotely. The W&M IT Security program documents can be viewed online at http://web.wm.edu/it/?id=965.

Date: June 1, 2007, Updated: July 1, 2009
Policy and Procedure Document  
Virginia Institute of Marine Science  
College of William & Mary

Number: PPD – 0357  
Subject: Data Classification, Risk Assessment, Business Impact Analysis, Continuity of Operations, and Disaster Recovery.

Purpose - This document serves as the policy guideline for data classification and risk/business impact assessment for VIMS IT systems. It also establishes the policy for incorporating the findings into the overall VIMS Continuity of Operations Plan developed under Executive Order 44, Establishing Preparedness Initiatives in State Government (§ 44-146.17 of the Code of Virginia).

1. Data Classification

Academic instruction and research systems are explicitly exempt from the COV ITRM Standard SEC501-101 requirements, as stated in Section 1.6.c of the Standard.

The ISO along with the Data Owners at VIMS will inventory IT Systems and Data according to the Sensitivity Classification criteria as outlined in the COV Standard as follows:

a. Confidentiality, which addresses the sensitivity to unauthorized disclosure.
b. Integrity, which addresses sensitivity to unauthorized modification; and
c. Availability, which addresses sensitivity to outages.

Sensitive Data is defined as any data of which the compromise with respect to confidentiality, integrity, and/or availability could have material adverse effect on COV interests, the conduct of agency programs, or the privacy to which individuals are entitled.

Example 1 - All VIMS administrative systems are run by the College of W&M and the Banner ERP system and are accessed by VIMS personnel via the VIMS network and internet providers.

These data might be classified as to sensitivity as follows:

<table>
<thead>
<tr>
<th>System ID: W&amp;M Banner</th>
<th>Sensitivity Criteria</th>
</tr>
</thead>
<tbody>
<tr>
<td>Type of Data</td>
<td>Confidentiality</td>
</tr>
<tr>
<td>Human Resources</td>
<td>High</td>
</tr>
<tr>
<td>Student Registration</td>
<td>High</td>
</tr>
<tr>
<td>Accounting</td>
<td>Moderate</td>
</tr>
<tr>
<td>Property Control</td>
<td>Moderate</td>
</tr>
</tbody>
</table>

Example 2. - Communications Systems and Local Databases
VIMS communication systems include the operation of the VIMS network and telephone systems. The following is a partial data inventory and sensitivity analysis for these systems:

<table>
<thead>
<tr>
<th>System ID: VIMS ITNS Local Data</th>
<th>Type of Data</th>
<th>Sensitivity Criteria</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Confidentiality</td>
<td>Integrity</td>
</tr>
<tr>
<td>Central Password File</td>
<td>High</td>
<td>High</td>
</tr>
<tr>
<td>E-911 Locations</td>
<td>Moderate</td>
<td>High</td>
</tr>
<tr>
<td>Dial Plan/voicemail</td>
<td>Moderate</td>
<td>High</td>
</tr>
</tbody>
</table>

2. **Risk Assessment**

Risk Assessment will be performed on the data inventory items in accordance with COV ITRM Standard SEC501-101, Section 2.6 to:

a. Identify potential threats.
b. Determine the likelihood that threats will materialize.
c. Identify and evaluate vulnerabilities.
d. Determine the loss impact if one or more vulnerabilities are exploited.

The results of the Risk Assessment will be summarized in a report. The inventory and report will be reviewed and updated annually, no later than July 1st.

3. **Business Impact Analysis and Continuity of Operations**


The Director of ITNS is a participant in the disaster recovery planning that is underway as part of this initiative at VIMS. Therefore, the findings of this Risk Assessment (above) will be incorporated into that planning process, rather than addressed here. This is consistent with the intent of Section 3.2 of the COV ITRM Standard SEC501-101.
4. **Disaster Recovery Planning**

ITNS will maintain a Disaster Recovery Plan for the operation of the network, telephone system and related systems. This plan will detail the steps necessary to restore essential agency IT functions.

This plan will be reviewed annually as part of the regular IT Security review (see PPD-0350), and approved by the Director of ITNS and the Agency Head.

Date: June 1, 2007
Updated: July 1, 2009
This document describes the logical access to Information Technology resources at VIMS through the establishment of user accounts.

**Authority**

The ultimate authority for granting access and use of Information Technology resources at VIMS rests with the Dean and Director. This authority is delegated to the Chief Information Officer (CIO) for the practical purpose of day to day operation.

All persons affiliated with the Institute (Staff, Students, Faculty, Volunteers, Contractors and approved guests) are entitled to a user account and subsequent privileges, such as email, network storage, technical support and software services. Accounts are created as part of the Institute Check-in Procedure. Policies and procedures for check-in are outlined in VIMS Policy and Procedure Document PPD – 0015.

In general, ITNS will create and an account once and individual has:

1. Provided the check-in with a completed signature from the authorizing individual, typically the Departmental Business Manager.
2. Upon completion of the ITNS Account form, including signature acknowledging the VIMS Acceptable Use Policy.

The ITNS User Account Form is attached at the end of this instruction.

**Temporary User Accounts (Contractors and Guests)**

From time to time visitors, guests and contractors will need access to Information Technology resources through a VIMS user account. Such accounts will be created on an as needed basis at the discretion of the CIO or a designee.

Contractors and guests will have a time limit as it appears on the attached ITNS Account form.

**Removal of Accounts**

Accounts will be removed when individuals are no longer affiliated with the Institute as a Volunteer, Student, Faculty, or Staff member. Checking out with ITNS by obtaining a signature from the CIO or designee triggers the account removal process. Accounts may remain active for up to one month after check-out. Departing users may request an extension beyond the normal time limit by acquiring a temporary user account as described above. Policies and procedures
for check-out are outlined in VIMS Policy and Procedure Document PPD – 0016.

The password file will be reviewed at the end of each semester (Fall, Spring, Summer) to remove user accounts in order to ensure that accounts are limited to those individuals with authorized affiliation with the Institute.

Date: June 1, 2007
Updated: July 1, 2009, May 6, 2010
Introduction

This policy establishes password requirements for VIMS ITNS and Departmental accounts and information systems. These requirements are necessary to help ensure personal security, protect VIMS business, research and academic interactions, and to meet security legal requirements and standards.

Passwords are often the weakest links in securing data due to the creation and use of weak passwords, the use of automatic password cracking programs, and the activities of malicious hackers, spammers, and phishing schemes. This policy provides guidance and minimum standards on creating and using passwords to maximize security.

Scope

This policy applies to anyone accessing systems that hold or transmit VIMS data and includes departmental and central IT accounts and resources.

ITNS maintains a central password and user id for all users associated with VIMS (See PPD-0374 for related information). Where possible, all system owners shall use this central password resource for authentication.

All user accounts will have initial passwords assigned by ITNS. Individuals are responsible for changing passwords following published instructions and guidelines. In general, password strength is proportional to its length and complexity. The following policies are adopted by ITNS and encouraged for all passwords:

Password Standards

Individual Responsibilities

Passwords for newly activated IT accounts must be changed at first use in order to ensure that only the person who has been assigned the account knows the password.

Passwords should be a minimum of 8 characters. The use of longer passwords or passphrases is recommended if the system in use supports them. A passphrase is a longer version of a password and typically is composed of parts of multiple words. A good passphrase also contains a combination of upper- and lower-case letters and numeric and certain punctuation characters.
Passwords should be protected and should not be written down and left in the user’s desk or on the user’s computer system. Passwords should be protected as if they were personal information such as a bank account or PIN number.

Passwords shall not be shared with anyone. Any attempt to encourage sharing your password should be reported to the VIMS ITNS. Do not use a VIMS password and username for any non-VIMS system or application.

Changing passwords each semester is a recommended best practice and is required whenever there is a reason to believe that a password has been revealed. If a password is suspected of being compromised, it is the responsibility of the user to take action to change the password or notify the system administrator to have the password changed.

In summary, passwords should be strong and carefully protected as described by CERT (www.cert.org). The above password standards should be applied to screen savers and telephone systems as well.

System Requirements

All information systems at VIMS are subject to the following policy requirements.

Initial Password Reset

All systems should require reset of the password at the time of first login. System upgrades should consider including this feature when possible.

Password Aging and Complexity

Systems will require resetting passwords at an appropriate frequency, but not longer than 12 months. Where possible systems should check for password complexity and also prevent re-use. Passphrases are encouraged, but should meet the following minimum complexity requirement:

1. The password or passphrase is at least eight characters long.

The password or passphrase contains characters from at least three of the following five categories:

a. English uppercase characters (A - Z)
b. English lowercase characters (a - z)
c. Base 10 digits (0 - 9)
d. Non-alphanumeric (For example: !, $, #, or %)
e. Unicode characters
System upgrades should consider including this feature when possible.

Automatic Lockout

Automatic password lockout after a limited number of unsuccessful login attempts is highly recommended. A grace period can be set to allow resetting of passwords after a certain elapsed time to prevent denial of service. This timeout should be longer than system authentication logs are monitored. System upgrades should consider including this feature when possible.

Display/Clear Text Passwords

All systems should not transmit, display or store passwords in clear text and should use encryption techniques, such as ssl and ssh. Stored password files should be encrypted. System upgrades should consider including this feature when possible.

Logging of Authentication and Failure Events

System Administrators will maintain a log of system logins and failures. Logs will be retained for a minimum period of six months.

Auditing and Checking

System Administrators and the Information Security Officer should periodically request that password files be processed using password cracking tools for servers supporting information systems. Weak passwords should be reported to the Information Security Officer.

Date: June 20, 2008
Updated: July 1, 2009
Number: PPD – 0381
Subject: Physical safeguards for information technology assets

The following facilities operated by VIMS Information Technology and Networking Services (ITNS) will be locked at all times. Key access is limited to those requiring access, with a record of VIMS personnel holding keys maintained by VIMS Department of Facilities Management under the campus wide physical security system.

1. Main Server Room and NOC (Network Operations Center, Watermen’s Hall, Room 215)
2. Auxiliary Server Room and NOC (Watermen’s Hall, Room 224)
3. PBX Room (Watermen’s Hall, Room 261S)
4. Network and phone wiring closets, where practical.

Contractors needing access to these spaces will be accompanied by appropriate ITNS staff.

**Auxiliary Power**

Areas 1-3 above are served by the emergency power grid in Watermen’s Hall, which consists of UPS and generator power. These systems are capable of withstanding a 48 hour power outage.

Network wiring and telephone closets will be placed on the emergency power grid in buildings where such a system allows.

**Asset Management**

All Information Technology assets are tagged and recorded in the W&M Asset Management System maintain by the Office of Property Control in accordance with established College policy. Items that are active on the VIMS Network (*i.e.* assigned IP addresses) are an exception to the policy in that they are tagged and tracked regardless of dollar value.

Date: June 1, 2007
Updated: July 1, 2009
Beginning July 1, 2007, all Students, Faculty and Staff shall be required to attend a class that covers Information Technology security risks and controls. The class will be coordinated with required classes offered by the VIMS Office of Safety and Environmental Programs, per VIMS Instruction PPD-0500. The VIMS Office of Safety and Environmental Programs will maintain a record of course completion by VIMS personnel.

The course will include information on the following concepts:

a. Policy for protecting systems and data.
b. Concept of separation of duties
c. Prevention and detection of incidents
d. Proper disposal of data
e. Use of encryption
f. Password management
g. Acceptable use policy
h. Remote access
i. Intellectual property rights

Date: June 1, 2007
Updated: July 1, 2009
All users of information technology shall abide by the accept use policy, as published on the ITNS Website: http://www.vims.edu/intranet/itns/policies/index.php
Number: PPD - 0387
Subject: Information Technology Security System Monitoring

Monitoring of IT systems is required under the COV ITRM Standard SEC501-101, as specified in Section 9.3. All individuals designated as System Administrators are responsible for system security logging as it pertains to the Standard.

Responsibilities include:
1. Enabling logging on all systems
2. Monitor event logs in real time.
3. Take actions to mitigate security breaches as necessary.
4. Report security breach incidents to the ISO.
Number: PPD - 0388
Subject: Security Incident Reporting Procedures.

Purpose

The purpose of this document is to identify steps and procedures to respond to suspected or known breaches in IT security safeguards.

IT Security Response Team

There is established an IT Security Response Team that consists of the Director of ITNS, the ISO, and, the appropriate System Administrator(s), and Data Owner(s) of the system in question.

General IT System Security Incident Procedures

Information security events, incidents, and weaknesses (including “near-misses”) should be promptly reported and properly managed.

Reporting - All VIMS Information Technology users should report suspected incidents immediately to a member of the ITNS staff. ITNS staff shall evaluate incidents and report them to the Director of ITNS for subsequent handling by the Response Team.

Evaluation - Recognizing that there may be false alarms, “near-miss” incidents, or incidents that turn out to be technical malfunctions, ITNS staff shall evaluate incidents until it is determined by the Director of ITNS along with the IT Security Response Team to forward them to the Dean and Director for further action.

Authority – The Dean and Director of the Institute has ultimate authority for handling security incidents and related disciplinary actions.

 Execution of the above standards shall be consistent with the College of William & Mary incident reporting and disciplinary policies.

Sensitive Information

Systems that contain Personally Identifiable Information, as defined in COV ITRM Standard SEC501-101, Section 9.5.2, require special incident reporting with regard to incidents where information is compromised. For VIMS, this information is contained in administrative databases maintained by the College of W&M in the Banner ERP system and accessed by VIMS personnel.
Therefore, incidents of breach or compromise of Personally Sensitive Information will be reported to the William & Mary ISO via the VIMS Director of Information Technology.

Date: November 1, 2007
Updated: July 1, 2009, May 7, 2010
Recreational fishing or crabbing from the piers, docks, or wharves at the Gloucester Point Campus of the Virginia Institute of Marine Science is forbidden.

Recreational fishing or crabbing from the piers, docks, or wharves at the Eastern Shore Campus of the Virginia Institute of Marine Science is allowed with the express permission of the Director of the Eastern Shore Campus.

Fishing or crabbing related to an official research program may be permitted with the written permission of the Director for Research and Advisory Services. Copies of the written permission should be forwarded to the Director of Facilities Management and the Director of Safety and Environmental Programs.

Date: July 1, 2009
Whenever something in the physical plant breaks, report it to Facilities Management. Facilities Management is the responsible department for addressing maintenance repairs. Reporting the problems to someone in central Administration only slows the process as the administrator will have to forward the report to Facilities Management for resolution. If a problem is identified in the Seawater Research Lab, the manager of that facility should be notified as well.

IF THE PROBLEM IS NOT ESPECIALLY URGENT, such as replacing a light bulb, send an email to maintenance@vims.edu. The email is important as it creates a record of the maintenance request and it reduces the chance that details will be lost as the content of a telephone message is relayed through several people. When the problem is resolved, Facilities Management will send an email to the person who made the report whether or not they make an in-person report. This email documents that the problem was addressed.

IF IT IS A CRITICAL PROBLEM, send an email to your Department Chair (or head of your unit) and telephone Facilities Management at 7096 (if no answer, 7090 or 7092). The email is to create the record, the call is to get help started as quickly as possible, and the email to the Department Chair (or unit head) is to make him/her aware of the problem so that he/she can help with alternate arrangements until the problem is fixed. Again, when the problem is resolved, Facilities Management will send an email to the person who made the report.

IF IT IS A PROBLEM SUCH AS COLD ROOMS that are not cold, environmental chambers that are not hot, or flowing water systems that are not flowing or are overflowing, that has the potential to impact several members of our community, send a vims-business email advising the entire campus community of the problem. That way, people who might need to make arrangements to sustain a project because of the break-down will know that they have to do so. With these larger issues, Facilities Management will send daily vims-business emails updating progress in making the repairs.

Even though this practice should alert everyone to problems, it should be routine procedure for someone from each working group using cold rooms, environmental chambers, flowing water, etc. to check the systems at least once a day to be sure that all is well. Additionally, materials in the facility should be clearly labeled with the name and contact information of whom should be called if the facility is not functioning properly.

It is a given that mechanical systems will fail. Good communications will both speed the beginning of repairs and help minimize potential adverse consequences of the problem.

Date: November 10, 2010
Regulations concerning the actions to be taken when there is a collision or similar incident involving vehicles owned or leased by the State are determined by the State Police. Specific details are available from the VIMS Department of Facilities Management.

The following are the actions generally required in the event of a collision or similar incident involving a vehicle owned or leased by the State. Much of this information is presented on the “When You Have An Accident” card which is in the glove compartment of every state vehicle.

- Take whatever actions are necessary to assure the safety of all parties and contact local Emergency Services to dispatch an ambulance or fire apparatus if there is any chance they might be needed.
- Notify the State Police in addition to any local police appropriate to the location as soon as possible.
- If the collision or incident occurs in areas under the jurisdiction of any Virginia university or college, notify the Campus Police for that institution.
- Inform the VIMS Department of Facilities Management as soon as possible. If necessary, do so by collect telephone call. The Staff in Facilities Management may be able to provide assistance.
- Inform the VIMS insurance company as soon as possible. Contact information is on the “When You Have An Accident” card.
- If it is necessary to tow the state vehicle, first seek assistance from VIMS Facilities Management. If the staff there is not able to provide assistance, contact the nearest Virginia Department of Transportation Motor Vehicle Service Facility. There should be a directory with contact information in each vehicle. If it is necessary to use a commercial towing service, document all actions and obtain invoices, not just credit card receipts, for all expenses.
- Upon return to VIMS, notify your supervisor and department head.
- Inform Facilities Management whether or not you were issued a summons (ticket) for the incident and the final disposition of any court action.

As required by state regulation, the circumstances of the collision or incident will be presented to the Institute’s Accident Review Committee. The members of the Accident Review Committee are appointed by the .

In those cases where it is determined that the cause of the collision or incident involving the state vehicle was due to the negligence or gross negligence on the part of the driver, one of the following may apply:
1. In the case of negligence on the part of the VIMS staff member driving either a vehicle owned by the Institute or the State, the will require the driver to pay the first $100 beyond anything covered by insurance of the cost of vehicle repairs; the driver’s administrative department at VIMS may be required to bear the remainder of the costs repair.

2. In the case of negligence on the part of the VIMS staff member driving a vehicle owned by the Institute, at the discretion of the with the advice of the Accident Review Committee, appropriate charges under the employee Standards of Conduct may be placed against the employee. The driver’s administrative department at VIMS may be required to bear the costs of the insurance deductible for repairing the vehicle.

3. In the case of negligence on the part of the VIMS staff member driving a vehicle from the state motor pool (central garage), at the discretion of the appropriate charges under the employee Standards of Conduct may be placed against the employee and the driver’s administrative department at VIMS may be required to bear the costs of repair of the vehicle.

4. In the case of negligence on the part of the VIMS staff member driving a vehicle involved in a collision or other incident, upon recommendation of the Accident Review Committee, the may ban the staff member from operating any VIMS vehicle. Such a ban might be permanent, might be for a specific period, or might continue until some action, such as successful completion of a driver improvement course, is accomplished.

Date: July 1, 2009, rev May 10, 2010
Pets such as dogs and cats should not be brought to work.

Properly designated guide and companion animals are welcome on campus. The owner of the animal is responsible for the animal.

Date: July 1, 2009
The purpose of this document is to describe the Institute’s procedures for security on campus and to clearly define the responsibilities of all Institute employees towards the security of campus buildings and grounds. The details of the procedures primarily apply to the Gloucester Point Campus.

It is the responsibility of each and every employee, whether faculty, staff, or student, to assist in maintaining the security of the Institute.

Nights, weekends, holidays, and other times when the Institute is not open for business, there is a Security Guard on campus. The Security Guard can be contacted by calling the Security Cell Phone number printed on the “EMERGENCY” sticker attached to all Institute telephones or by operating one of the “Blue Light” emergency telephones.

Should there be a security problem during the normal working day, the Dean and Director, the Director of Facilities Management, or the professional staff of the Office of Safety and Environmental Programs should be contacted. The best way to contact any of these individuals in an emergency is to call the central receptionist at extension 7000 and request that the appropriate individual be contacted.

In a critical situation, the Gloucester County Sheriff, Fire, and Rescue Dispatcher can be reached by telephoning 9-911, however contacting the central receptionist and requesting that 911 be called might bring more immediate assistance from within VIMS as well as the county’s services. If in doubt, do not hesitate to call 9-911.

During working hours, contact the Customer Service Center in the Department of Facilities Management to report thefts or vandalism. Request that the William & Mary Campus Police be notified. Depending upon the nature of the incident, either Facilities Management or the Campus Police might decide to contact the Gloucester County Sheriff as well.

During nights, weekends, and holidays it is especially important that windows and exterior doors remain closed and locked. This helps assure the safety of individuals who work alone and of all aspects of building interiors.

Date: July 1, 2009
In order to assure that the acquisition of a motor vehicle does not overly tax the ability of the Institute to maintain its vehicles and to verify that the necessary and appropriate filings of ownership, insurance, operational responsibility, etc. have been completed, no new or used automobile, van, truck, or other motor vehicle may be acquired by purchase or gift or leased without the express approval of the Department or Center Head of the person requesting the acquisition, the Agency Transportation Officer (Director of Facilities Management), and the Director of Planning and Budget. This policy applies without regard to the source of funds (institutional, grant or contract, private) to be used for the purchase or lease and pertains equally to acquiring a vehicle to replace an existing vehicle as to obtaining an additional vehicle.

The form with which to request approval to purchase or lease a motor vehicle can be obtained from the Department of Facilities Management or the Office of the Director of Planning and Budget. This request and approval to purchase or lease is in addition to the routine purchase requests and other authorizations to expend Institute funds.

In addition to providing satisfactory justification for the acquisition, it will be necessary to make arrangements with the Agency Transportation Officer/Director of Facilities Management concerning responsibility for maintenance, status of use (reserved to the acquiring department, general motor pool, etc.) before approval to purchase or lease may be granted.

Date: July 1, 2009
This document establishes the Hazard Communication Standard Program/Chemical Waste Management as published and occasionally updated and revised by the Institute’s Office of Safety and Environmental Programs as an official program of the Institute.


Date: July 1, 2009
Number: PPD - 0501
Subject: Chemical Hygiene Plan for VIMS

This document establishes the Chemical Hygiene Plan for VIMS as published and occasionally updated and revised by the Institute’s Office of Safety and Environmental Programs as an official program of the Institute.


Date: July 1, 2009
Number:  PPD - 0502  
Subject:  Hazardous Materials Emergency Response and Security Plan

This document establishes the Hazardous Materials Emergency Response and Security Plan as published and occasionally updated and revised by the Institute’s Office of Safety and Environmental Programs as an official program of the Institute.

The Hazardous Materials Emergency Response and Security Plan, as updated, is available on the Safety Office page of the Institute’s website,  

Date:  July 1, 2009
This document establishes the Fire Prevention Plan for VIMS as published and occasionally updated and revised by the Institute’s Office of Safety and Environmental Programs as an official program of the Institute.


Date: July 1, 2009
This document establishes the Occupational Safety and Health Plan as published and occasionally updated and revised by the Institute’s Office of Safety and Environmental Programs as an official program of the Institute.


Date: July 1, 2009
Number: PPD - 0505
Subject: Respiratory Protection Plan

This document establishes the Respiratory Protection Plan as published and occasionally updated and revised by the Institute’s Office of Safety and Environmental Programs as an official program of the Institute.


Date: July 1, 2009
This document establishes the Radiation Safety Plan as published and occasionally updated and revised by the Institute’s Office of Safety and Environmental Programs as an official program of the Institute.


Date: July 1, 2009
Number: PPD - 0507
Subject: Pollution Prevention Plan

This document establishes the Pollution Prevention Plan as published and occasionally updated and revised by the Institute’s Office of Safety and Environmental Programs as an official program of the Institute.


Date: July 1, 2009
Number: PPD - 0508
Subject: Automatic External Defibrillator (AED) Protocols

This document establishes the Automatic External Defibrillator (AED) Protocols as published and occasionally updated and revised by the Institute’s Office of Safety and Environmental Programs as an official program of the Institute.


Date: July 1, 2009
The local administration of the Workers’ Compensation Claims Program is assigned to the Office of Safety and Environmental Programs. The local procedures and policies concerning the Workers’ Compensation Claims Program are intended to facilitate application of official state and, where appropriate, College of William & Mary procedures.

This document establishes the Workers’ Compensation Claims Program as published and occasionally updated and revised by the Institute’s Office of Safety and Environmental Programs as an official program of the Institute.


Date: July 1, 2009
This document establishes the Severe Storm Preparedness / Response Information as published and occasionally updated and revised by the Institute’s Office of Safety and Environmental Programs as an official program of the Institute.


Date:  July 1, 2009
This document establishes the First Aid Kits information as published and occasionally updated and revised by the Institute’s Office of Safety and Environmental Programs as an official program of the Institute.


Date: July 1, 2009
This document establishes the Safety of Visitors information as published and occasionally updated and revised by the Institute’s Office of Safety and Environmental Programs as an official program of the Institute.

Visitors who are on campus for more than 72 hours (three business days) must go through the “check-in” procedure (see Policy and Procedure Document 0015) and receive the “right-to-know” briefing from the Office of Safety and Environmental Programs.


Date: July 1, 2009
Policy and Procedure Document
Virginia Institute of Marine Science
College of William & Mary

Number: PPD - 0513
Subject: Teenagers in Laboratories

This document establishes the Teenagers in Laboratories information as published and occasionally updated and revised by the Institute’s Office of Safety and Environmental Programs as an official program of the Institute. The intent of these requirements is not to place prohibitive burdens on faculty and scientifically curious teens, but to protect the teenagers from potential harm and to teach them good laboratory practice while protecting the Institute, its administrators, and the persons supervising the teens and the laboratories from the potential consequences of an incident or of a violation of the laws and regulations.


No person under the age of 16 years may work in a laboratory under any circumstances. Sixteen and 17 year old persons may work in most laboratories but only under the DIRECT and CONSTANT supervision of an adult competent to evaluate the safety of the work being performed. Persons under the age of 18 years may not work with radioisotopes. "Laboratory" means a (bio-) chemical laboratory wherein chemicals, solvents, etc. are used or stored. Computer and map laboratories are not included in this definition. As with all other persons on campus, every adolescent worker must attend a general Safety Orientation - Right to Know training session before beginning work, and anyone working in a radioisotope laboratory, whether or not they use radioisotopes, must attend a Radioactive Materials Awareness class. Persons under 18 who work in radioisotope laboratories also must have a separate, signed parental permission form on file with the Radiation Safety Officer.

Virginia's labor laws and regulations, which are stricter than the federal, state "No child under eighteen years of age shall be employed, permitted or suffered to work ... In any capacity in preparing any composition in which dangerous or poisonous chemicals are used," "No person shall employ, suffer, or permit a child to work in any gainful occupation that exposes such child to a recognized hazard capable of causing serious physical harm or death to such child," and "Any work is prohibited which ... involves exposure to ionizing radiation."

It is strongly suggested that a faculty member or senior (classified) staff member serve as the adolescent's supervisor. In general, a Graduate Assistant should not serve as the official supervisor, but the faculty member may delegate some general supervisory responsibility to Graduate Assistants or other adult employees.

In order to assure that all adolescent persons on campus have the same degree of protection, VIMS requires the same standard of safety for volunteers and unpaid students as for employees.

Date: July 1, 2009
As there exist strict regulations and compliance standards with regard to shipping and receiving Hazardous Materials, Dangerous Goods, and Biological Specimens via commercial carrier or the U. S. Postal Service, it is very important that any shipment that may fall within these categories be identified and handled properly.

Any shipment originating at VIMS that may contain materials within the above mentioned categories must be properly characterized, packaged, labeled, and manifested by a trained and certified employee knowledgeable of the material to be shipped and the particular mode of transportation to be employed (Ground, Air or Vessel). As regulations, standards, and shipping documents are revised from time to time, personnel must attend periodic refresher training. Each shipment must be reviewed in light of the latest revisions in regulations or standards.

Responsibility for shipping and receiving on the VIMS campus resides with the Procurement Department of the College of William & Mary, specifically within the Office of Property Control. Initial contact with this Office is required well in advance should shipment or receipt of any of these type materials be anticipated.

If it is anticipated that the U.S. Postal Service may be employed for shipping or receiving of materials or goods then the Postmaster at the Gloucester Point Post Office should be consulted in advance of any shipment or receipt.

Members of the VIMS’ Office of Safety and Environmental Programs may be contacted for general information if unable to obtain the information required from VIMS’ Shipping and Receiving or the Office of Property Control.

Date: July 1, 2009
This document establishes the VIMS Guide for Diving Safety as published and occasionally updated and revised by the Institute’s Office of Safety and Environmental Programs and the Diving Safety Officer as an official program of the Institute.


Date: July 1, 2009
This document establishes the policy that all indoor spaces and all enclosed spaces under the administration or control of the Virginia Institute of Marine Science are no smoking areas. The intent of this policy is to provide a smoke free work environment for all members of the VIMS community.

As required and/or allowed by the Virginia Indoor Clean Air Act, Sections 15.2-2800 - 15.2-2810 of Chapter 28 of the Code of Virginia, smoking is prohibited in all indoor spaces, automobiles, truck passenger compartments, vessel cabins, and similar areas under the administration or control of the Virginia Institute of Marine Science. Smoking is permitted outside only.

Persons who choose to smoke should assure that before discarding them, their smoking materials are properly and fully extinguished and they should dispose of the residue in an appropriate fashion.

Date: July 1, 2009
It is the desire of the Virginia Institute of Marine Science to maintain a positive balance between work and home responsibilities. There are occasions in which children unexpectedly are home from school or childcare arrangements have gone amiss.

Most supervisors and managers understand that unexpected situations arise and they make every effort to support their employees through a variety of ways. One solution is approving the use of the appropriate type of leave to address these unexpected situations. Bringing children to the workplace creates both a safety risk to the child and a liability risk to VIMS. Children are not permitted in the workplace except for short visits or participation in appropriate VIMS sponsored events. It is especially important that children not be in laboratories or other work areas where there are hazardous chemicals or biological agents.

The Office of Human Resources can provide information on the type of leave (such as Family Leave, Annual Leave, etc.) appropriate for the situation.

Date: July 1, 2009
The Dean of Graduate Studies oversees personnel actions concerning graduate students at the Virginia Institute of Marine Science except that routine matters concerning payroll and similar matters are delegated to the Departmental Business Managers and the Office of Sponsored Programs, as appropriate.

Date: July 1, 2009
A workshop is a mechanism by which graduate students in good standing may earn additional pay by working additional hours separate from any work requirements of their assistantships or other funding mechanisms. Workshops are dependent upon funding and are not promised or guaranteed.

In order to insure that fulfillment of workshop duties will not slow progress on accomplishment of graduate milestones and progress toward degree and so that faculty advisors are fully aware of a student's workshop commitment, the Academic Council has unanimously passed the following.

1: With the approval of their advisors, students will be allowed to work up to 100 workshop hours per fiscal year.

2: Students will be allowed to petition for permission to work additional workshop hours with the provisos that:
   a: such a variance is approved by the student's advisor;
   b: workshop hours never exceed 200 per fiscal year.

3: Accounting of workshop hours will be maintained by the Dean of Graduate Studies' office.

Date: July 1, 2009
An Assistantship is the normal mechanism for providing a stipend to a graduate student. Assistantships may be funded from Institutional sources (general funds, indirect funds, or private funds) and by sponsored research projects (grants and contracts). In most instances, especially with grant or contract funds, the receipt of an assistantship requires that the student work for a specified number of hours each time-reporting period.

Only the Dean of Graduate Studies may assign assistantships; however, the award of an externally funded assistantship also requires the concurrence of the Principal Investigator responsible for the funding and of the student’s primary advisor.

The Dean of Graduate Studies will authorize the award of the assistantship in writing with a terminal, or renewal, date. The Institute will attempt to continue the assistantship as long as the performance of duties within the assistantship and the academic performance of the student remain satisfactory. In no instance will the Institute promise or contract to support any assistantship beyond the specified terminal or renewal date. Assistantships may be cancelled at any time should the funds no longer be available.

Date: July 1, 2009
Graduate students at the Virginia Institute of Marine Science occupy a complex position. Because virtually all full-time graduate students at VIMS receive some sort of stipend or compensation, they are, in part, employees and, as such, have certain responsibilities.

Graduate students who are planning to travel on Institute business must obtain the appropriate authorization before embarking on the trip. See Policy and Procedure Document 0017.

Most Graduate Assistantships and Fellowships allow for a limited amount of annual leave, normally 20 hours (5 days) in addition to scheduled holidays. Graduate Assistants and Fellows must notify their advisors and, if not the same, their work supervisors in advance of their intent to take annual leave. The graduate advisor is responsible for maintaining records of the leave used by each student. Annual leave may accrue from year to year to the extent of 1.5 times the then current annual allowance. Individual students may take additional time as long as they have arranged with their advisors and their work supervisors to make-up the work hours missed due to the extended absence. This is in addition to any time and effort reporting required by the Institute of College (see Policy and Procedure Document 1002).

Reasonable amounts of sick leave are expected and students must inform their advisors and their work supervisors in addition to any reporting required by the Institute or College (see Policy and Procedure Document 1002). Any extended sick leave must be coordinated with the Dean of Graduate Studies as well as with advisors and work supervisors in order to determine the best course of action for the student.

Students desiring to take an extended “leave of absence” from the school must discuss the situation with the Dean of Graduate Studies.

Date: July 1, 2009
This document presents the policies that govern borrowing materials from the William J. Hargis, Jr. Library and describes the various associated procedures.

Persons borrowing library materials must have a current, valid College of William & Mary ID card which serves as a “library card.”

Items that can be borrowed: Books, serials with a green card in the back, VIMS/SMS theses, dissertations, and other publications can be borrowed for the periods listed below. Superceded editions of maps and charts are available on loan to VIMS faculty, students and staff only.

Non-circulating Items: Reserve materials, reference materials, current and bound journals, microforms and microfilms and special collections.

Here is the Loan Periods table:

<table>
<thead>
<tr>
<th>Item</th>
<th>VIMS Students</th>
<th>VIMS Faculty</th>
<th>VIMS Staff</th>
<th>W&amp;M Students</th>
<th>W&amp;M Faculty</th>
<th>W&amp;M Staff</th>
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</thead>
<tbody>
<tr>
<td>Books</td>
<td>Semester</td>
<td>365 Days</td>
<td>1 Semester</td>
<td>30 Days</td>
<td>120 Days</td>
<td>30 Days</td>
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<td>5 Renewals</td>
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<td>5 Renewals</td>
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<tr>
<td>Theses &amp; Dissertations</td>
<td>Semester</td>
<td>365 Days</td>
<td>1 Semester</td>
<td>30 Days</td>
<td>120 Days</td>
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<tr>
<td>Technical Reports</td>
<td>Semester</td>
<td>365 Days</td>
<td>1 Semester</td>
<td>30 Days</td>
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<tr>
<td>Maps &amp; Charts</td>
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<td></td>
<td>3 Renewals</td>
<td>3 Renewals</td>
<td>3 Renewals</td>
<td>Use Only</td>
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<tr>
<td>CDs, Videos, Software</td>
<td>7 Days</td>
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<tr>
<td>Microfilm/forms</td>
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<tr>
<td>Journals</td>
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Renewals may be made on line. See the Hargis Library website (www.vims.edu/library).

All materials are subject to recall. Reminders on due dates and recall notices will be sent to the W&M email account of the borrower. If this account is not monitored regularly, mail should be forwarded to an account that is actively read. Instructions on how to do this are provided on the Hargis Library website, www.vims.edu/library, on the borrowing policy page.
Students, faculty, and staff from the Williamsburg campus should note the Hargis Library loan and renewal options, which may differ from those at the Swem Library, as well as the policy for materials that are not returned on time or are lost or damaged.

Materials that are loaned for periods of a semester, 120 days, or 365 days and are not returned or renewed (if permitted), within 30 days past the due date will be declared lost.

Materials that are loaned for periods of 7 or 30 days and are not returned or renewed (if permitted) within 10 days of the due date, will be declared lost.

Lost Materials:

The borrower of a lost item will be blocked from further borrowing until the loss is corrected and will charged the replacement cost, plus a processing fee of $25 per item. The processing fee is non-refundable even if the item is located and returned at a later date.

If the borrower lends a loaned item to another person, the original borrower is responsible for ensuring the return of the item by the due date and is responsible for damage and replacement costs or charges that may incur.

Damaged Materials:

Borrowers will be responsible for the costs to repair damaged materials. Items that are not repairable will be considered as lost and subject to fees as described under Lost Materials. All damaged material remain the property of the Library.

Borrowing Materials from Libraries on the Williamsburg Campus:

VIMS faculty, staff, and students are allowed to borrow materials from other campus libraries by going directly to the library or by requesting an item through the Hargis Library Interlibrary Loan services. Materials borrowed from other campus libraries are subject to the loan rules and policies of those libraries which may differ from those of Hargis Library; links to this information are provided on the Borrowing Policies page of the Hargis Library’s website. It is the responsibility of the borrower to be aware of any differences. Materials that are borrowed directly from other W&M libraries must be returned directly to the lending library. There is no inter-campus shipping of library materials. Materials borrowed from other W&M libraries through the Hargis Library Interlibrary Loan services must be returned to the Hargis Library Interlibrary loan office.

Individuals can review the materials checked out to them by going to the Hargis Library website ( www.vims.edu/library ), selecting the Library Catalog link, and then selecting the “My Account” link.

Date: July 1, 2009
All published materials such as journal articles, books and chapters in books, and papers in conference proceedings should include a VIMS Contribution number which is assigned to a manuscript after it has been accepted for publication. The Director of the William J. Hargis, Jr. Library has the responsibility of assigning and tracking contribution numbers. Because the contribution is not assigned until late in the publishing process, authors should include a “place holder,” such as “Contribution #### of the Virginia Institute of Marine Science,” at the appropriate place in the manuscript and insert the number when correcting the galley sheets. Separately published abstracts do not receive contribution numbers.

Procedures for obtaining a VIMS Contribution Number are available under “Author Instructions” on the VIMS Library website (http://web.vims.edu/library/).

Contribution numbers are assigned and tracked for several reasons:

- They serve as a performance measure. The number of refereed articles, books, book chapters, edited books, and conference papers is used as a performance measure of the Institute's research efforts and is reported annually to the State.
- The library maintains a listing of all material written by VIMS authors including faculty, staff, and students.
- The library maintains an archive of reprints and other printed material produced by VIMS faculty, staff, and students. This archive is tracked by contribution number.

Date: July 1, 2009
Article Reprints

The Library needs two (2) copies of reprints for the Archives and for tracking all new articles or publications. Please send copies to the Library as soon as you receive them. If you have only electronic versions of the article (pdfs), please print two copies and forward them to the Library.

VIMS Publication Series:

Twenty four copies of each VIMS Publication must be submitted to the Library. VIMS Publications include any report or report series published by the Institute such as Data Reports, SRAMSOEs (Special Report in Applied Marine Science and Ocean Engineering), Special Scientific Reports, newsletters, wetlands reports, advisory reports, etc. The William J. Hargis, Jr. Library is required by the Code of Virginia to provide 20 copies of “State” publications to the Library of Virginia. These copies are distributed to designated depositories statewide. In addition to these 20, the Hargis Library should receive 4 copies: 2 for circulation, 1 for the archives, and 1 for the Swem Library. If a report has been made into a pdf document, a copy of the pdf should be sent to the Library so that online access to the item can be provided.

The Library of Virginia is charged to serve as the official, legal depository for all state publications. In addition, the Code mandates the Library of Virginia to oversee a network of 'depository' libraries which also maintain extensive collections of state publications in order to assure convenient accessibility of these materials to citizens throughout the Commonwealth (Code 2.1-467.2 and 42.1-19). To fulfill this obligation, all state agencies are asked to send twenty (20) copies of all their publications to the Library of Virginia at the time they are published.

The definition of a State publication states that:
- It is a written product which provides information to the reader
- It is used by entities outside of the agency
- At least 50 copies are printed or reproduced in any way, by or for a State agency
- It is in full or in part at State expense.

Types of documents which may meet the definition include but are not limited to reports, catalogues, regulations, technical manuals, employee and other newsletters, brochures, booklets, and posters.
Exclusions would be publications that are not of general interest (items restricted to use at VIMS or by its staff, i.e. internal documents, memos, forms, letters, etc.) and for which less than 50 copies were printed.

Electronic Documents

If a VIMS publication has been created in digital format only, and it is not feasible to provide the required 20 print copies due to the format of the digital report (such as the case with the SAV reports), then Hargis Library should be advised of the publication, author(s), and date, and be provided with the document URL if the report is posted on a website. A record of this report will be cataloged with the URL to provide access to the work and the State Library will be advised of the existence of the electronic document. However, in the case where a pdf report can be printed, two print copies of pdf publications are still required by Hargis Library for archival purposes, in addition to a digital copy of the pdf.

Contract Reports

For print format contract reports, only 2 copies are needed by Hargis Library UNLESS it was published using state money and/or meets the other criteria listed previously. The Library should receive 2 print copies of pdf publications, a copy of the pd, as well as be advised of the document url if posted elsewhere on a web site.

Further information is available from the Library.

Date: July 1, 2009
In order to facilitate wide distribution of data and scientific thought, the Virginia Institute of Marine Science maintains three series of publications: Special Scientific Reports, Special Reports in Applied Marine Science and Ocean Engineering (SRAMSOE), and Data Reports. Although these series are unrefereed publications (gray literature), they carry the imprimatur of the Institute and thus reflect upon the Institute as well as the author(s). These publication venues afford faculty, staff, and students the opportunity to present information that might not be appropriate for referred journals, e.g. lengthy data sets with no or minimal interpretation, reports concerning applied studies that might not carry the academic interest necessary for journal publication, etc. The suite of in-house publication series is intended to enhance the dissemination of scientific information, it is not intended to serve as a means of enlarging individual curriculum vitae.

Authors who wish to present a specific report in one of the in-house publication series must contact the Director of Research and Advisory Services for authorization. The Director of Research and Advisory Services will review the content of the proposed publication for appropriateness for inclusion in one of the VIMS series and may require either scientific/technical or editorial modifications. The Director of Research and Advisory Services may delegate either or both the scientific/technical and editorial reviews.

Authors who wish to present information in one of the in-house publication series, should contact the Director of the William J. Hargis, Jr. Library, or designee, to determine which specific series (SRAMSOE, SSR, etc.) would be most appropriate and to learn the details of proper format, number of copies required, etc. The Director of the Library or the designee will assign a number in the appropriate series only after receiving written authorization from the Director for Research and Advisory Services.

Date: July 1, 2009
Electronic publication of documents is supplanting the older forms of “gray literature” in the scientific community. Gray literature, whether traditional print documents (see Policy and Procedure Document 0704) or web-based, on-line publications, facilitates the rapid dissemination of scientific information but lacks the quality control of peer-review found in formal journals. Also, gray literature better accommodates the presentation of large data sets that some researchers might find interesting whereas journals usually have stringent space limits that prohibit distribution of the full data sets. Project and contract reports are excellent candidates for on-line presentation.

Persons who desire to have their reports made on-line available to the scientific community should contact the Director of the Hargis Library, or a designee, to discuss both the final format of the document (pdf or other) and the appropriate storage platform.

It is important that the Hargis Library be part of the on-line publication process. When the library is aware of the existence of the document, the document can be included in the library catalog which facilitates the accessibility of the document. Also by including the library “in the loop,” the on-line publication can be included in the yearly tabulations of institutional effort and products.

Date: July 1, 2009
Volunteers are important members of the VIMS community whose donations of time, effort, and spirit are of real benefit to the Institute. Because of the value of the volunteer work, official coordination of the program is necessary. The Development Office facilitates the volunteer program. The Development Office helps potential volunteers find suitable activities, assists them in the check-in and check-out processes, and maintains appropriate records.

Persons desirous of becoming volunteers should be referred to the Development Office, even if a faculty or staff member already has agreed to supervise them in some specific activity.

Information about the volunteer program and an application form can be found on the Development Office web page, http://www.vims.edu/admin/develop/

Date: July 1, 2009
Mentorship of high school students in some form of research activity is an important function. Although mentorships by their very nature are one-to-one relationships, they exist within the full context of the Virginia Institute of Marine Science. Because high school students who seek some form of mentoring or guidance in the performance of research projects (generally) are not paid, they, in effect, are volunteers; therefore the Development Office serves to coordinate and keep records of this activity.

High school students participating in some form of mentored activity must go through the appropriate check-in and check-out process and must obtain permission on the appropriate form(s) from a parent or legal guardian.

As mentorship of high school students is an educational function, only members of the faculty of the Virginia Institute of Marine Science may serve as mentors and each participating high school student must have a faculty member as a mentor. The nature of research being what it is, the faculty member may delegate some aspects of the day-to-day supervision of the high school student to a senior staff member or a graduate student. The faculty member, however, retains the overall responsibility for the safety and progress of the high school student.

The mentor, the person being mentored, and anyone to whom some supervision of the high school student has been delegated must be aware of and comply with the state and federal regulations and institutional policies concerning teenagers in laboratories, see Policy and Procedure Document 0513 and the Safety Office web page, [http://www.vims.edu/admin/safety/](http://www.vims.edu/admin/safety/)

The intent of these requirements is not to place prohibitive burdens on faculty and scientifically curious teens, but to protect the teenagers from potential harm and to teach them good laboratory practice while protecting the Institute, its administrators, and the persons supervising the teens and the laboratories from the potential consequences of an incident or of a violation of the laws and regulations. Additionally, the record keeping aspect of the coordinated activity provides documentation that may be valuable for the student, the mentor, and the Institute.

Date: July 1, 2009
This document establishes the Vessel Operation, Training and Safety Policy as published and occasionally updated and revised by the Institute’s Field Operations office and Office of Safety and Environmental Programs as an official program of the Institute.

The Vessel Operation, Training and Safety Policy is available on the Institute’s website at [http://www.vims.edu/admin/vessels](http://www.vims.edu/admin/vessels). Printed copies may be obtained from Field Operations.

Date: July 1, 2009
Rev. April 26, 2010
A person whose motor vehicle operator’s license is suspended or revoked may not operate VIMS boats or vessels and may not operate boats or vessels for VIMS.

Director for Operations, Support Services and Special Projects may deny any member of the VIMS community the privilege of operating VIMS boats or vessels. This decision may be appealed to the Dean and Director.

Date: July 1, 2009
rev. May 6, 2010
Before attempting to obtain a new or used vessel for programmatic or departmental use, the potential acquisition must be discussed with the senior staff of Field Operations and the Director of Operations, Support Services and Special Projects. The purposes of the discussion are to determine what specific capabilities are needed, what type of vessel (length, hull style, equipment, manufacturer, etc.) will provide those capabilities, and whether or not any vessel presently in the Institute’s fleet meets or can reasonably be made to meet those requirements. Generally, use of an existing vessel is preferable to expanding the Institute’s fleet.

In order to assure that the acquisition of a boat or other vessel or watercraft does not overly tax the ability of the Institute to maintain its fleet and to verify that the necessary and appropriate filings of ownership, insurance, operational responsibility, etc. will be completed, no new or used boat, vessel, or watercraft may be acquired by purchase or gift or leased without the express approval of the unit head of the person requesting the acquisition, the Director for Finance, Support Services and Special Projects, and the Director of Planning and Budget. This policy applies without regard to the source of funds (institutional, grant or contract, private) to be used for the purchase or lease and pertains equally to acquiring a vessel to replace an existing vessel as to obtaining an additional vessel. Approval may be requested by circulating a memo to the individuals listed above explaining the specifics of the acquisition and the reasons the acquisition is needed. In addition to providing satisfactory justification for the acquisition, it will be necessary to make arrangements with the Field Operations concerning responsibility for maintenance, status of use (reserved to the acquiring program or department, general fleet use, etc.) before approval to purchase or lease may be granted. Consideration must be given to the disposition of the vessel once the project for which it was acquired terminates. Once each of the individuals noted above has indicated approval of the acquisition by signing the memo, the acquisitions process may continue.

This request and approval to purchase or lease is in addition to the routine purchase requests and other authorizations to expend Institute funds.

Additionally, acquisition of major equipment, e.g. (outboard) motors, for programmatically managed vessels must be coordinated with the Supervisor of Vessel Operations. The operational experience of the Field Operations Staff with regard to reliability, service requirements, operational costs, etc. can guide the selection of engines and other major components. Also such coordination will help assure operational and service compatibility of all VIMS vessels.

Date: July 1, 2009
Rev: May 6, 2010
I: External customers who wish to contract with VIMS for use of institutional vessels need to contact the Field Operations. Field Operations personnel, in consultation with the Director for Operations, Support Services and Special Projects will assess the request to ensure that:

- The work to be undertaken aligns with VIMS mission
- The contract will not be construed as unfair competition with the private sector
- There is a research or instructional component to the proposed work to satisfy the oceanographic research requirements
- VIMS state and sponsored program research activities take priority over any other request
- The proposed work is appropriate for the experience and expertise of the VIMS vessel crew and the capabilities of the vessel
- The formal request for use of a VIMS vessel by an outside party includes a statement describing the planned work, including specification of the research or instructional content. The statement also must identify the client, if different from the party actually using the vessel, and the intent of the proposed work.
- Copies of the data collected will be given to VIMS in a timely manner. VIMS will not make public use (use in scientific or other publications) of any data so obtained with permission of the outside party and VIMS will acknowledge that party’s contribution in an appropriate manner. VIMS acknowledges and accepts that some outside users may have valid reasons embargo the release of the data; however prior arrangements must be made to assure release of the data to VIMS within a reasonable time.

II: If it is determined that it is in the interest and capabilities of VIMS to undertake the vessel usage contract, Field Operations personnel will contact the Office of Sponsored Programs (OSP) to confirm the budget and costs for the project. The cost proposal spreadsheet form is attached to this procedure. Each proposal submitted must use rates current at the time of the offer. These rates are available on VIMS website: [http://www.vims.edu/about/leadership/sponsored_programs/apply/rates/vessels.php](http://www.vims.edu/about/leadership/sponsored_programs/apply/rates/vessels.php)

It is imperative that any contract-for-hire work must not be subsidized by institutional funds.

III: Vessel use will be posted on the VIMS Vessel Calendar on the web at: [http://www.vims.edu/intranet/operations/vessel_operations/index.php](http://www.vims.edu/intranet/operations/vessel_operations/index.php)

IV: No work will be conducted until a contract, purchase order, or other confirmation
satisfactory to OSP is received from the requestor(s).

V: Once the confirmation is received, VIMS OSP will create an index for the project and will inform the Field Operations of the account number to be used for posting charges. Within 5 business days following completion of the work, the charges will be posted by VSC to the appropriate index, and a copy of the signed log-sheet(s) will be forwarded to OSP for invoicing the user.

Date: July 1, 2009, rev. June 28, 2010
The nominal work hours of the Virginia Institute of Marine Science are 8:00 a.m through 5:00 p.m., Monday through Friday. With permission of their supervisors, individuals may work other hours and/or “tele-commute” so long as the number of hours worked meets the minimum required and satisfies the general requirements of the College of William & Mary and the Commonwealth of Virginia. Alternative schedules should assure that the employee has at least two days of rest during the “work week” (see Policy and Procedure Document 1003).

Because of the nature of the work, the standard hours of work for some employees will be different from the nominal work hours of the Institute.

Date: July 1, 2009
For various regulatory and management purposes it is important that the Institute maintain accurate records of time and effort. These records serve as the verification of time worked that is necessary for payroll purposes and some grant or contract provisions.

All employees at VIMS are required to submit time documentation through the Banner Employee Self Service (ESS) page  https://mywm4.wm.edu/cp/home/displaylogin, login, click on “Banner,” click on “Employee,” click on “Timesheet,” and follow the prompts). Some departments at VIMS, for example Facilities Management, have a designated time keeper who will enter the data for individual employees. Hourly employees and non-exempt classified or university employees are responsible for reporting time on a daily basis either with the ESS system or through a departmental time keeper. Exempt employees are responsible for recording only exception time, such as annual and sick leave, on the ESS system. If exempt employees work a normal week and do not take any leave, they do not need to submit the electronic time sheet. Faculty must record exception time only. If they work a normal week and do not take any leave, they do not need to submit the electronic time sheet. When the employee has completed the time sheet, it must be submitted to the employee’s supervisor for approval. The Office of Human Resources publishes a list of reporting periods and the due dates for submission of time sheets.

Additionally, faculty and certain other exempt employees periodically need to report the allocation of their work time amongst various activities. Departmental Business Managers facilitate this required reporting.

The policies and procedures applicable to the Virginia Institute of Marine Science are those of the Commonwealth of Virginia and the College of William & Mary with modifications, where appropriate, for VIMS. Specific information and assistance in completing time sheets can be obtained from Departmental Business Managers and the Office of Human Resources of the College of William & Mary.

Date: July 1, 2009
The official “work week” for the Virginia Institute of Marine Science runs from 12:01 a.m. (0000 hours) Saturday through Friday night. This “work week” is used to determine if an employee has served for more than forty (40) hours during a “week” and thus, if eligible, may be due some form of “overtime benefit.” If at all possible, an employee’s work week should include two (2), preferably consecutive, days of rest.

Date: July 1, 2009.
Policy:

It is the policy of the College of William & Mary and the Virginia Institute of Marine Science to adhere to the Federal Fair Labor Standards Act (FLSA) as amended and revised and to provide an equitable system of overtime payment through the use of overtime leave for non-exempt employees and exempt employees with overtime authorization at time and time-and-one-half. Non-exempt positions involve clerical or manual labor duties that account for fifty percent (50%) or more of the employee’s work week. Determinations of a position’s exempt or non-exempt status are made on a position-by-position basis under rules from the FLSA.

NOTE: Under the FLSA, employees who voluntarily continue to work at the end their shift are entitled to compensation. The Act only requires that the employer knows or has reason to believe that an employee is continuing to work. Therefore, it is critical that supervisors monitor and control work hours and that all non-exempt employees are compensated in accordance with FLSA regulations either by overtime pay or overtime leave.

Procedure:

1: It is the responsibility of supervisors and managers to administer overtime. The approval process may differ within divisions, departments, and schools.

2: The use of overtime leave instead of monetary overtime compensation must be agreed upon in writing by both the supervisor and the employee prior to the use of overtime leave. A copy of the written agreement must be submitted to the Office of Human Resources.

3: Overtime leave is earned at a time-and-one-half rate (one and one half overtime leave hour for each hour actually worked over 40 hours in the standard work week (see Policy and Procedure Document 1003)). Overtime Leave earned and taken will be reported to the Office of Human Resources on the Banner Employee Self Service system on the https://my.wm.edu website.

4: There is a maximum accrual of 120 hours of overtime leave (80 hours of overtime work times 1.5 equals 120 hours of overtime leave) for all non-exempt and authorized exempt employees. While subject to supervisory approval, overtime leave should be taken as soon as possible after it is earned. Requests to take overtime leave should be submitted in the required method.

5: If the 120 hour maximum accrual is met, the employee must be paid for any additional overtime hours worked at the appropriate hourly wage rate as outlined in the FLSA. Leave balances are available on-line on the Banner Employee Self Service system.
6: Overtime leave balances will be paid off when an employee terminates agency employment. The overtime leave balances will be paid at the employee’s ending hourly rate or the average rate over the last three (3) years of continuous employment, whichever rate is higher.

Date: July 1, 2009.
The policies and procedures of the Virginia Institute of Marine Science concerning telecommuting are those of the College of William & Mary and the Commonwealth of Virginia. For classified and university employees, formal work agreements between the employee and VIMS are required if the employee works at home on anything other than a rare and irregular basis. Further information can be obtained from the Office of Human Resources; additionally, the application form for telecommuting and further information on the written agreements can be found on the Virginia Department of Human Resource Management website (http://www.dhrm.state.va.us/) along with VDHRM Policy 1.61 which covers telecommuting (http://www.dhrm.state.va.us/hrpolicy/policy/telecommute1_61.pdf)

Permission to work at home on a rare and irregular basis must be arranged with the employee’s supervisor.

Individuals who are members of the Faculty must arrange the specifics of telecommuting with the heads of their departments.

All persons who work at home are reminded of the prohibition against having state owned equipment, including portable computing equipment, at home without proper authorization.

Date: July 1, 2009
The Institute is eligible to receive surplus property, excluding real estate, from both the state and federal governments. The state Department of General Services, Department of Purchasing and Supply (DGS/DPS) has statutory authority for administering the state and federal surplus supply programs. The Materials Management Office at the Virginia Institute of Marine Science acts to assist personnel at the Institute with the acquisition and disposition of surplus property. Anyone desiring to obtain surplus materials from either the state of federal government or to declare any material owned by the Institute as surplus, must contact the staff of the Materials Management Office which will provide information on how to comply with the numerous, then current regulations.

Date: July 1, 2009
The policies and procedures for purchasing (procurement) at the Virginia Institute of Marine Science are those of the College of William & Mary, as modified for implementation at VIMS, and the Commonwealth of Virginia. Persons needing specific guidance should contact the Departmental Business Manager.

Date: July 1, 2009
All business-related checks received at VIMS must be given to the Financial Operations office in Watermen’s Hall for receipt and logging. Upon receipt, the mail room staff will forward any envelopes which obviously contain checks to Financial Operations; however, if you receive a check, including one that has been hand-delivered, it is your responsibility to deliver it to Financial Operations. This must be done on the day of receipt.

After the checks are entered in a log by Financial Operations, the log sheet and checks are given to the Cashier who confirms the information. The Cashier will then notify the appropriate individuals that the checks have been received. This process will be done in a timely manner to avoid any unnecessary delays.

Date: July 1, 2009
Number: PPD - 1301
Subject: Creation and Filling of Tenure/Tenure Track Faculty Positions

Being revised and updated
Institutional Goal

The Virginia Institute of Marine Science (VIMS) has operated under a tripartite mission of research, education, and advisory service for well over half a century. Our research and broad expertise in marine and estuarine systems forms the foundation of our education and advisory service functions. Our graduate education program trains a cadre of future scientists through state-of-the-art research. Our role as technical advisor to the Commonwealth of Virginia, and other national and international agencies, has served not only the citizens of Virginia, but also has stimulated our focus on multi-disciplinary research that is directly applicable to current and emerging management and policy issues important to the Virginia’s economy and the health and sustainability of its natural resources.

It is clear that VIMS has evolved into a comprehensive, internationally-recognized marine research and education center with a unique advisory service role within and outside of the state. Yet we aspire to enhance our leadership position even further. One of our greatest strengths is a faculty with varying academic profiles that is able to participate in our tripartite mission. One of our challenges is to ensure that there is flexibility and responsiveness in addressing the missions of the Institute while at the same time maintaining a firm commitment to excellence. Thus it is crucial that future faculty appointments are structured first and foremost to meet the needs of the institution and that, within the institutional context, we are able to attract the very best scholars in the nation.

Types of Appointments

Tenured and Tenure-Eligible Faculty. This type of appointment is distinguished by an irrevocable obligation to participate significantly in the graduate education program at VIMS. Composition of the tenure-eligible faculty should be determined primarily by 1) curriculum needs as identified by the Academic Council in consultation with the Dean of Graduate Studies, 2) research profiles that allow scholarly achievement in one or more disciplines identified as strategically important to VIMS, and 3) statement on expectation to participate in advisory service. Titles for persons who occupy these positions are Assistant Professor, Associate Professor and Professor.

Research Faculty. This type of tenure-ineligible appointment is made primarily on the basis of need in the research and advisory service missions. Composition and size of the research faculty will be determined by commitments involving directed research and new initiatives that require expertise at the PhD level. Individuals holding these appointments must have the willingness and ability to establish an independent program of research or advisory service that has a level of scholarship equal to that of the tenured and tenure-eligible faculty. Research faculty will have
voting rights except on matters related to faculty appointments, retention, promotion and tenure and on matters related to the academic program.

Titles for persons in such appointments are Research Assistant Professor, Research Associate Professor, and/or Research Professor.

Research Scientists. This type of appointment is for PhD level scientists who support the research and advisory service missions of VIMS, but do not necessarily serve as independent investigators, and as such have expectations that are set by the principal investigators who have hired them. These appointments are categorized by the university as professional faculty and are thus ineligible for tenure. They may participate in general department matters but do not vote. Because these positions are linked to specific programmatic needs, individuals in these positions typically serve as co-principal investigators. They are not reviewed by the FS&TR for promotion or retention. Titles for faculty in these positions include Assistant Research Scientist, Associate Research Scientist and Senior Research Scientist.

Post-Doctoral Scientists. This type of appointment, which allows the infusion of talented new PhDs into the research mainstream of VIMS, should be viewed as temporary and to typically not exceed four years. The positions are designed to enable individuals to gain practical experience in their field, including opportunities for writing grant proposals. They may participate in general department matters but do not vote. If mutually beneficial employment options continue to exist at VIMS after two 2-year post-doctoral terms, the post-doctoral appointment may continue in the research scientist or research faculty series.

Professional Faculty (other than Research Scientists and Post-Doctoral Scientists). This type of appointment is for key administrative, support and outreach personnel. Qualifications include an advanced degree or training and work experience at a level which equates to an advanced degree. Professional Faculty do not have voting rights in matters before the full faculty. Appointments and due process for professional faculty are included in the College’s “Policies and Procedures Regarding Employment and Performance Review of Administrative and Professional Faculty”. Titles are determined by the department in which the appointment resides.

Fundamental Provisions

Fundamental provisions for research faculty, research scientists, and post-doctoral scientists are shown below. Tenured and tenure-eligible faculty and professional faculty (other than Research Scientists and Post-Docs) are not included because there are no changes in policy in these types of appointments.

Fundamental Provisions for Research Faculty (See Attachment A)

1. All research faculty appointments at VIMS must conform to the College’s Faculty Handbook under the section entitled ‘Appointment Categories and contracts and Notices (August 2008 edition, pages 17-20)
2. The various types of faculty appointments at VIMS must be structured (within the framework specified in the Faculty Handbook) to meet the most pressing strategic needs of the institution.

3. Regardless of method by which a candidate is selected for a particular position, the Faculty Status and Tenure Review Committee (FS&TR) will play a vital role by reviewing all research faculty appointments and recommending an appropriate rank to the Dean and Director.

4. As specified-term faculty, these appointments can reside in departments, centers, or programs. If supported entirely by non-general funds, research faculty appointments can be initiated by the head of the unit providing the funding after consultation with the Dean and Director. Research faculty who are to be appointed with any level of support from general funds will require approval by the Director of Research and Advisory Services, and the Dean and Director. Although research faculty are hired to fill research and advisory roles, rather than education roles, they can elect to teach if time and funding-agency regulations permit this option, and they receive the necessary approval set forth from the Academic Council, Dean of Graduate Studies and their respective department chair.

5. Research faculty will have voting rights except on matters related to faculty appointments, retention, promotion and tenure and on matters related to the academic program.

6. Research faculty may apply for advertised tenure-track positions at VIMS and would be treated as any other applicant. If successful, they would enter a tenure-eligible position. Conversion of faculty between tracks (e.g. research faculty to tenure-eligible faculty) without an open national search is not permissible.

7. The general requisites for annual evaluation and for promotion will be the same for tenure-eligible and research faculty appointments in that, after taking into account the differences in faculty profiles, both are tied to measures of excellence. Annual review and promotion for all faculty will follow established policies that have been approved by the Faculty Council and appropriate committees at the College.

**Fundamental Provisions for Research Scientists (See Attachment A)**

1. All research scientist appointments at VIMS must conform to the College’s Faculty Handbook under the section on Professional Faculty (under revision). These appointments can be renewed indefinitely subject to the availability of funds, an assessment that a continued appointment is beneficial to the Institute and that the appointee has obtained satisfactory annual reviews.

2. Appointment can be attained by promotion from post-doctoral research status following at least two years as a post-doctoral researcher. Although not required, the FS&TR may be called upon to review the appointment and make a recommendation regarding rank.

3. As professional faculty positions, these appointments can reside in departments, centers or programs. Appointments to these positions are usually initiated by a PI or VIMS faculty member and require the approval of the department chair or center director, and the Dean and Director. Under special circumstances, research scientists could be involved in teaching provided funding agency regulations permit this option, and they meet requirements and necessary approval set forth by the Academic Council.
4. Research scientists may apply for advertised tenure-track positions at VIMS and would be treated as any other applicant. If successful, they would enter a tenure-eligible position. Conversion of faculty between tracks (e.g. research scientist to tenure-eligible faculty) without an open national search is not permissible.

5. The general requisites for annual evaluation and for promotion will follow established review procedures at the Institute. Reviews will be based on annual planning letters identifying mutually agreed upon expectations.

**Fundamental Provisions for Post-Doctoral Scientists**

1. Post-doctoral positions should be limited to two 2-year terms, after which continuation at VIMS would require moving into the professional faculty research scientist series, into a research faculty position or, if available, into a classified position. Post-doctoral scientists cannot be converted to tenure-eligible status.

2. Post-doctoral scientists work under principal investigators (PIs) on the faculty, and are usually supported by PI-initiated grants, contracts or fellowships whose focus is determined by mentors. Fellowships available to post-doctoral researchers can provide more flexibility in research objectives compared to grant-supported projects. However, use of department or PI laboratory and other research facilities at VIMS by fellowship recipients requires initial consultation and approval of the post-doctoral mentor and department chair. Post-doctoral researchers cannot be principal investigators except under select circumstances and with approval of the post-doctoral mentor and department chair.

3. General guidelines for Post-doctoral salaries will be developed by the Dean and Director, in consultation with the faculty, and communicated to the faculty-at-large and the Office of Sponsored Programs. Post-doctoral scientists will be evaluated annually by their faculty mentors, following standardized procedures, with review of evaluations by the respective department chairs.

Date: June 16, 2008
Reviewed March 16, 2009
minor revision, July 1, 2009
### ATTACHMENT A

**Comparison of Research Positions**  
Specified Term Research faculty vs Research Scientist track

<table>
<thead>
<tr>
<th>Position Characteristics</th>
<th>5-yr Specified Term Research Faculty</th>
<th>Research Scientist track</th>
</tr>
</thead>
<tbody>
<tr>
<td>Primary role</td>
<td>Capable of Maintaining An Independent Program</td>
<td>Primarily Support research</td>
</tr>
<tr>
<td>Tenure-eligible</td>
<td>No</td>
<td>No</td>
</tr>
<tr>
<td>BOV appointment approval</td>
<td>Yes</td>
<td>No</td>
</tr>
<tr>
<td>National search requirement</td>
<td>Yes (see note on Page 5 re: search waivers)</td>
<td>Yes (see note on Page 5 re: search waivers)</td>
</tr>
<tr>
<td>*Dept. faculty vote for appointment</td>
<td>Yes</td>
<td>No</td>
</tr>
<tr>
<td>Teaching/mentoring</td>
<td>Yes, with permission of AC</td>
<td>Yes, under special circumstances</td>
</tr>
<tr>
<td>Annual contract</td>
<td>Yes</td>
<td>Yes</td>
</tr>
<tr>
<td>Renewable position</td>
<td>Funding dependent</td>
<td>Funding dependent</td>
</tr>
<tr>
<td>Promotion path</td>
<td>Yes</td>
<td>Yes</td>
</tr>
<tr>
<td>FS&amp;TR Evaluation for retention, promotion</td>
<td>Yes</td>
<td>No</td>
</tr>
<tr>
<td>Annual evaluation</td>
<td>Yes</td>
<td>Yes, proposed</td>
</tr>
<tr>
<td>Obligation of dept. resources/space</td>
<td>Variable, depending on availability</td>
<td>None</td>
</tr>
<tr>
<td>Benefits</td>
<td>Yes</td>
<td>Yes</td>
</tr>
<tr>
<td>Funding sources</td>
<td>Soft money and GF</td>
<td>Soft money</td>
</tr>
<tr>
<td>Faculty voting rights</td>
<td><strong>Yes</strong></td>
<td>No</td>
</tr>
<tr>
<td>Independent investigator</td>
<td>Yes</td>
<td>Support role</td>
</tr>
<tr>
<td>Expected to write proposals with faculty or independently as PI</td>
<td>PI</td>
<td>co-PI, PI with permission</td>
</tr>
<tr>
<td>Expected to submit manuscripts for publication, prepare presentations, etc.</td>
<td>Yes (Note: expectations may exceed those of tenured track faculty if this is a 100% research profile)</td>
<td>Yes, but expectation assigned by PI</td>
</tr>
<tr>
<td><strong>Office space allocation</strong></td>
<td>Based on need and availability</td>
<td>Based on need and availability</td>
</tr>
</tbody>
</table>

*Department Chair or Center Director approves all appointments

**Except on matters related to faculty appointments, retention, promotion and tenure and on matters related to the academic program*
SEARCH PROCESS FOR RESEARCH FACULTY

1. PI/faculty member with funding writes position description consistent with performance expectations of research faculty.
2. Dean and Director, Department Chair or Center Director and Provost authorize filling the position by signing a Faculty Position Form (form is initiated in Dean and Director’s office and forwarded to Provost and Director of EO along with position description).
3. Dean and Director appoints a search committee based on departmental or center recommendation and approval of membership by the Faculty Council.
4. When the Committee has concluded the evaluation process and selected final candidates, the departmental faculty will vote on the candidates and an evaluative letter of support is sent to the Dean and Director (normally the names of three candidates are forwarded).
5. The Dean and Director asks the FS&TR to perform a credential review for assigning rank and solicits comments from the Director of Research and Advisory Services.
6. The Dean and Director reviews all materials and recommendations. When the final candidate is selected and approved by the EO Director and the Provost, the offer may be extended by the Dean and Director.

Note: The search process for post-doctoral scientists and the research scientist track is the same as above except the search committee is composed of two or three faculty members from the hiring department or center, the committee membership does not have to be approved by the Faculty Council, the department does not vote on the candidates and the FS&TR does not perform a credential review.

Search Waivers

When VIMS hires faculty whose employment with the College is expected to continue for more than one year, Federal regulations and College procedures require that a search be conducted in accordance with the College’s Search and Selection Procedures. The College waives this search requirement only in extraordinary circumstances and only after approval by the Dean and Director, the EO Director and the Provost. Faculty hiring external or in-house candidates without a search must follow the steps listed above under Search Process for Research Faculty except as they pertain to forming a search committee. Departmental/center faculty vote and an evaluative letter of departmental/center support sent to the Dean and Director is a requirement for all research faculty candidates even if the search is waived. This is not a requirement for post-doctoral scientists or research scientists.

If a search waiver is requested, the sponsoring faculty member must justify this action on the basis of the candidate’s expertise. Justification for the waiver request must conform to the College’s Standards for Grant of Search Waivers. External candidates, and in-house candidates for conversion to research faculty, must be reviewed for suitability by the FS&TR, followed by a letter to the Dean and Director that reports the results of that review.
1. Department Chairs, or Center Directors when appropriate, shall conduct annual merit evaluations of their respective faculty consistent with procedures in this document and the Faculty Handbook of the College of William and Mary.

2. No later than the first week in January of each year the Dean and Director will request that all faculty members submit to their Department Chair an updated curriculum vita (CV) with the current year’s additions noted, the previous year’s planning letter, a brief narrative describing activities and accomplishments of the faculty member for the current year, and an annual planning letter for the subsequent year. The planning letter shall allocate effort in four evaluation areas: research, service, education, and governance (in percentages totaling 100%) and briefly describe anticipated activities and accomplishments in each of the four areas. The area of service has two components, one for professional service and another for advisory service. There is a general expectation that all tenure and tenure eligible faculty participate in all four evaluation areas. Allocation of effort for research and professional (Specified-Term) faculty will be consistent with their job description and or profile. Terms of the planning letter will be negotiated between the Chair and faculty member. It is important that the Chair exercise long-term faculty development for senior faculty and mentoring of junior faculty in developing a planning letter as the letter is part of the information requested by the Procedures and Criteria for Appointment, Evaluation, Retention, Promotion and Award of Tenure. It is the responsibility and authority of the Department Chair to formally approve the profile in the annual planning letter to be used for subsequent annual evaluation. The annual evaluation is to be based only on the goals and objectives in the planning letter, and how accomplishments compare to other members in the Department. Situations may arise in the course of a year where the agreed upon effort, goals and objectives may be modified to meet altered responsibilities or new opportunities. Any substantial changes should result in a new negotiated agreement between the faculty member and Chair, and should become part of the evaluation documentation along with the original planning letter.

3. The Chair shall evaluate both the quality and quantity of the faculty member’s activities in each area of endeavor using guidelines in the Criteria for Annual Evaluation of Faculty. The faculty member shall be afforded the opportunity to discuss his or her evaluation material with the Chair prior to receiving scores for each evaluation area.

4. The Chair shall award one of the following evaluation outcomes, with associated score, to each area of activity for each faculty member: Does Not Meet Expectations (1); Meets Expectations Low (1.5); Meets Expectations (2); Meets Expectations High (2.5); Exceeds Expectations (3). A cumulative score shall be determined by summing the product of each
activity’s (research, service, education, and governance) score (1, 1.5, 2, 2.5, or 3) multiplied by
the respective percentage allocation in the faculty member’s planning letter. The final sum,
rounded to the nearest decimal, is the faculty member’s annual merit evaluation score.

For example, if a faculty member’s planning letter allocated 50% to research, 15% to service,
30% to teaching, and 5% to governance, and the Chair’s evaluation of the faculty member’s
performance in these categories was Meets Expectations, Exceeds Expectations, Exceeds
Expectations, and Meets Expectations, respectively, than the annual merit evaluation score
rounded to one decimal would be 2.4 (0.50x2 + 0.15x3 + 0.30x3 + 0.05x2 = 1.00 + 0.45 + 0.90 +
0.10 = 2.45).

5. The maximum cumulative score for an annual evaluation would be 3.0 for “Exceeds
Expectations” in all four categories. Receiving a “Meets Expectations” in all four categories
would result in a cumulative score of 2.0. Not meeting expectations in all categories would result
in the minimum evaluation score of 1.0. Any evaluation score between 1.0 and 3.0 is possible.
Barring extenuating circumstances, a post-tenure review will be triggered when a faculty
member receives a merit evaluation cumulative score of 1.5 or less in two consecutive years or in
two out of any three consecutive years. The Department Chair will be responsible for informing
both the faculty member and the FS&TR committee when a post-tenure review has been
triggered.

6. The Chair may meet with each faculty member more than once during the evaluation process
to discuss performance relative to the planning letter. When the Chair has completed his or her
evaluations of all departmental faculty, he or she will meet with each faculty member to explain
the basis for the scores received in each evaluation area. At that meeting the Chair shall provide
each faculty member the distribution of scores for the entire Department. Each faculty member
shall be afforded an opportunity of seeing his or her written evaluation at least two weeks prior
to the delivery of the evaluation to the Dean and Director.

7. Each faculty member has the right to challenge his or her evaluation. The faculty member
shall present it in writing to his or her Department Chair with sufficient time for the Chair to
respond and still meet the Dean’s deadline for submission of the annual evaluation. If agreement
cannot be reached between the faculty member and Chair, the faculty member’s challenge, the
response of the Chair to the challenge, and the Chair’s evaluation shall be forwarded to the Dean
and Director for resolution.

8. It is understood that from time to time an individual faculty member may have extenuating
circumstances that affect their performance. The Department Chair and the Dean and Director
will consider the implications of these circumstances with regard to annual performance as is
appropriate.

(Approved by VIMS/School of Marine Science Faculty – December 2006)
I. FUNDAMENTAL PRINCIPLES

The principal goal of the standards and expectations set forth by these criteria is two-fold, faculty development and the progressive advancement of the long-term goals and missions of the Virginia Institute of Marine Science (VIMS) and the School of Marine Science (SMS). The basic mechanism for evaluating faculty performance is peer review according to policies established in the Faculty Handbook of the College of William & Mary, the Bylaws of the Virginia Institute of Marine Science/School of Marine Science, and procedures and criteria established by the faculty and approved by the Dean and Director.

The Department Chair provides for the professional development of faculty in his or her department and ensures full participation of the departmental faculty in research, advisory service, education, and governance to ensure that the needs of the department and VIMS are met. In filling these responsibilities, the Chair annually negotiates profiles with the department faculty. It is important that the Chair exercise long-term faculty development for senior faculty and mentoring of junior faculty in developing a planning letter as the letters are, for the appropriate years, part of the information requested by the Procedures and Criteria for Appointment, Evaluation, Retention, Promotion and Award of Tenure.

II. ACTIVITIES COMMENTARY

The following commentary on annual evaluation activities is provided as general guidance to Chairs and faculty. It is the prerogative of the departmental faculty to list evaluation activities important to the department, and to develop and weight specific criteria based on these activities for the department. The rating scale for merit evaluations in each area of activity will be as follows:

**Exceeds Expectations:** This rating shall be awarded to a faculty member who is deemed truly outstanding in their effort and performance in a given area (i.e. education, research, service (to include advisory and professional service), and governance).

**Meets Expectations:** This rating shall be awarded to a faculty member who exhibits normal effort and performance expected of faculty in a given area (i.e. education, research, service (to include advisory and professional service), and governance).

**Does Not Meet Expectations:** This rating shall be awarded to a faculty member whose effort and
performance in a given area (i.e. education, research, service (to include advisory and professional service), and governance). is often below and occasionally substantially below the performance expected of faculty.

In each instance, the quantity of activity (or effort) in a given area shall be evaluated relative to the allocation of effort reflected in a faculty member’s yearly profile. It is the responsibility of the Chair to explain to departmental faculty how criteria will be applied in assessing annual performance.

1. Research

Both applied and basic research encompasses problem solving, creation, and dissemination of new knowledge. Acquisition of external funds to support research efforts is considered an important part of research activity. The effective communication of research results is expected through a variety of mechanisms, including oral, written, and web based outlets. The level of professional communication warrants particular attention, as it is the principal mechanism for dissemination of the results of scholarly activity. Moreover, such dissemination enhances the stature of the VIMS and the College.

Appropriate research activities include but are not limited to:

Professional Communications:
- Refereed Publications
- Journals
- Conference Proceedings
- Books and Contributions to Books
- Distributed Non-review Publications
- Conference Proceedings
- Virginia Institute of Marine Science Papers in Marine Science
- Virginia Institute of Marine Science Publication Series
- Contract Reports (significant final reports only; where possible, include information on any outcome resulting from the product)

Oral Presentations
- Meetings with Published Abstracts
- Meetings without Published Abstracts
- Invited Presentations

Support for Research:
- Proposals written as principal investigator (PI)
- Proposals written as co-principal investigator (Co-PI)
- External Funding Secured as PI or Co-PI
- Competitive programs
- Sole source
- Collaborations with other faculty or scientists
  - Within-discipline
  - Inter-Disciplinary
  - Inter-Institutional

2. Service
Both advisory and professional service are included in the evaluation area. At VIMS, advisory service and professional service is an essential component of the institutional mission. Advisory service means service to the Agencies of the Commonwealth, the Governor's Offices and General Assembly, to local governments, to industry, to nongovernmental organizations, to public interest groups, to federal and international agencies, and to the general public. Professional service is construed as participation in activities that support research and professional communication.

Products of Advisory Service can be written or oral contributions to the development of legislation, promulgation of guidelines, adoption of standards, policies and regulations, and results of applied research. Evaluations of a faculty member’s advisory activities can be based on efforts to provide advice that results in positive economic benefits, identified benefits to natural resources and environments, and increasing public awareness. Additional documentation of effective advisory activities can also be provided by publications, technical reports, educational material, and by consultations with identified clients.

Appropriate advisory service activities include but are not limited to:
- Brief Communications (phone calls, email contacts, short meetings)
- Advisory Meetings (e.g., Virginia Marine Resources Commission, Chesapeake Bay Commission, NOAA, Food and Agriculture Organization)
- Appointments to National and/or International Review and Policy Boards
- Advisory Reports
- Committee, Council, and Commission Activity
- Products of Advisory Activity (e.g., regulations, standards, legislation, guidelines, policy)

Appropriate professional service activities include but are not limited to:
- Review of Manuscripts for Journals
- Grant Proposal Review
- External Evaluator for Promotion or Tenure
- Service to Scientific Societies
- Appointment as Editor or Associate Editor of Peer-Reviewed Journals

3. Education

Education may include both graduate and undergraduate teaching and mentoring activities. Graduate education is recognized as a distinctive activity that requires flexibility in definition, particularly with respect to formal classroom teaching loads. The need for student mentoring in research is greater in graduate programs and mentoring constitutes a larger proportion of the total educational load than is the case in traditional undergraduate programs. However, some level of high quality formal classroom teaching is normally expected of all tenured and tenure-eligible faculty. Thus, education is herein defined to include the following activities: formal classroom teaching, mentoring and advising graduate students, and mentoring and advising undergraduate or other types of students. In addition to being part of the annual merit review, effective formal classroom instruction and mentoring of students are criteria for tenure, tenure review and promotion. Both faculty and student evaluations of the effectiveness of teaching and advising will be considered. Effective mentoring is determined by assessing the
continuing guidance and support of students by each faculty member. Faculty should ensure the timely progress of students towards completion of their studies. Student publications, presentations at professional meetings and awards are also evidence of effective mentoring.

Appropriate educational activities include but are not limited to:

Instruction
- Sole Instructor
- Lecture Courses
- Seminar Courses
- Directed Readings Courses
- Team Teaching
- Occasional Lectures

Mentoring
- Research
- Educational Guidance
- Professional Skill (e.g. grants-man-ship, oral presentation)

Major Professor or Advisor
- Undergraduate
- M.S.
- Ph.D.

Financial Support of Students

Committee Service
- Within Field
- Out of Field

Committees at Other Universities

Student Evaluation
- Examination Monitor
- Defense Monitor

4. Governance

Participation in faculty governance is an important responsibility of the faculty. Governance activities typically involve participation on elected or appointed deliberative bodies of VIMS and/or the College. Participation can include service as chair, member or alternate member of the Academic Council, Faculty Council, standing or ad hoc committees within VIMS, or similar service on college-wide committees.

III. EVALUATION DOCUMENTS

Four documents are part of the annual merit evaluation: a CV in VIMS modified College format, the planning letter for the year being evaluated, a narrative of the faculty members accomplishments for the year, and a planning letter for the subsequent year.

1. Planning Letter
Each year each faculty member with the guidance of his or her Chair prepare annual planning
letter that sets goals and objectives for performance-based measures in the coming calendar year. The planning letter will propose levels of effort in each of the four evaluation areas (research, advisory service, education, and governance). The goal of the planning letter is to structure the faculty member’s profile so that it supports and enhances the department’s contribution to the VIMS’s goal and objectives, and provides for the professional development of the faculty member. It is the responsibility and authority of the Chair to formally approve the profile contained in the annual planning letter as the basis for the subsequent annual merit evaluation.

2. Evaluation Narrative

An annual narrative should follow the format of the planning letter and describe the activities and accomplishments of the faculty member for the current year being evaluated. Additional information may be included from external sources suggested by the individual faculty member, such as professional peers and clients in his/her field. Qualitative self-assessments should be included for each of the four evaluation areas a summary self-assessment for the entire year must also be provided. Chairs will request input from the Dean of Graduate Studies for Teaching evaluations, and the Director for Research and Advisory Service for research and advisory service evaluations. The annual review may also consider, as appropriate, such factors as long-term research projects, teaching enhancement projects, and/or contributions to service and/or governance that extend beyond a single year.

(The above was approved by the Faculty in December 2006.)
Policy

These procedures apply only to appointment of existing faculty members to named or endowed professorships. Appointment of newly recruited faculty members to named professorships is part of the recruitment process and is covered under separate policies and procedures.

The Dean and Director will inform the Faculty Council of the status of all named or endowed professorships as of July 1 each year and will also inform the Council of the acquisition of new named or endowed professorships as they occur. Appointment procedures for named professorships can be initiated by the Dean and Director or by the Faculty Council with the approval of the Dean and Director. Search committees will be established for all named professorship appointments.

Procedures

The Dean and Director will identify any resections associated with the appointment. The Faculty Council will appoint a search committee to recommend faculty members for the appointment.

A. For named professorships specified within a particular discipline or department, the search committee will be established as follows. The appropriate department will elect two members, the Faculty Council will appoint one member from another department. The Faculty Council will appoint an additional member as the committee chair from the department where the appointment will reside.

B. For named professorships available for the faculty at large, including Chancellor Professor, the search committee will be established as follows. Each department will elect one member. The Faculty Council will appoint one additional member and will also appoint the committee chair.

1. The search committee will solicit nominations for the appointment from the faculty.

2. The search committee will review the nominees qualifications and seek internal and external references.

3. The search committee will recommend no more than three individuals to the Dean and Director for final selection.
4. The FS&TR Committee will review the final selection and make a recommendation to the Dean and Director.

5. The Dean and Director will forward the final recommendation to the Provost, President, and Board of Visitors for approval.

Criteria

1. Named professorships might stipulate the discipline or subdiscipline or the rank of the individual who is to be selected. In such cases, that definition is one determining criterion.

2. Each candidate should be tenured, unless tenure specifically is not a requirement of the particular named professorship, and of appropriate rank in the VIMS faculty.

3. A candidate should be eminent. This term is construed to mean standing out above others; prominent; outstanding in performance or attainments; distinguished. This eminence shall mean outstanding in terms of (a) scholarship (e.g., production of a reasonable number of significant papers as appropriate for the candidate’s field, recognition for scholarship by his/her peers at other institutions, in government, in industry, and in professional societies, (b) teaching (e.g., production of graduate students of recognized quality; meritorious instructional activity; recognized mentoring of students other than those for whom the candidate serves as major professor), and (c) governance (e.g., consistent and meritorious service to the academic community in a leadership role; consistent and meritorious service to the larger community in a leadership role).

   A candidate need not be equally outstanding in all areas, but clearly should be above average in all areas. The eminence of a candidate should be recognized outside the institute and the university and this status should be documented.

Date: July 1, 2009
THE CHANCELLOR PROFESSORSHIP PROGRAM

Purpose: To recognize and reward faculty members whose contributions in the university have been exemplary.

Term of Appointment: Those honored shall serve in the position for a seven-year, non-renewable term. Those individuals currently holding appointment for less than a seven-year term are eligible for reappointment so that their total term will be seven years.

Method of Appointment: When a Chancellor professorship becomes available, the dean of the School or Faculty to which the professorship is assigned shall nominate two candidates for consideration by the Provost and President who shall make the final recommendations to the Chancellor and the Board of Visitors.

Selection Criteria: The honor is given to permanent members of the William & Mary Faculty. The essential qualification for a Chancellor professorship is distinguished service to the university in teaching, scholarship, or governance. It is expected that these individuals have had, over time, a profound impact on the quality of the academic life of the institution.

Stipend: Each Chancellor Professor will receive an annual stipend which is determined by the Provost over time as appropriate. A certificate of recognition shall be awarded.

POLICY AND PROCEDURES FOR FACULTY RESEARCH ASSIGNMENTS
Virginia Institute of Marine Science/School of Marine Science
College of William & Mary

Introduction
Research is a significant component of the activity of the Faculty of the Virginia Institute of Marine Science of the College of William & Mary. Faculty Research Assignments are a principal means of faculty development and enrichment that can provide an opportunity for intensive research, collaborative projects, and learning new techniques, either on or off campus, while relieving the faculty member of teaching, advisory, and administrative responsibilities. By this means the continuing development of members of the faculty as scholars and researchers will be enhanced, as will the reputation, capabilities, and stature of the College and Institute.

Stipend and Benefits
Faculty Research Assignments can be granted for up to six months at full salary or from six to twelve months at one half salary, and will include fringe benefits. Recipients of 12-month assignments may obtain additional salary support from outside sources. Funds from an outside source for travel, housing, other expenses, or for dependents are not considered as part of the basic stipend.

Eligibility
All Faculty members, including research faculty, of the Virginia Institute of Marine Science (except emeriti) who have completed six consecutive years of full-time service are eligible to apply for Faculty Research Assignments. Faculty members are eligible for subsequent research assignments every sixth year from the end of the previous assignment.

A faculty member hired with or without tenure will receive 1 year of credit for every 2 years of faculty service since a previous sabbatical or research leave at another institution, up to a maximum of three years of credit. Faculty service is understood to mean full-time, formal appointment at the level of Assistant Professor or above excluding teaching assistantships, post doctoral fellowships, and similar positions at other institutions before the applicant joined the VIMS faculty.

Conditions of Research Assignments
Research Assignments are made on the condition that the recipient will:
• Return to active service at the Institute for a minimum of one year following the period of the assignment.
• Devote full energies to the proposed project. Activities including outside or overload employment during the period of the assignment must be consistent with the Policy on
External Paid Employment
(http://www.wm.edu/about/administration/provost/forfacstaff/policies/externalemployment/index.php) Institute teaching and service activity during the period of the assignment are neither required nor expected.

- Acknowledge the support of VIMS in all subsequent publications or other work arising from research conducted during the term of the assignment.
- After the completion of an FRA, the faculty member must submit a Leave Activity Report to their Chair and the Dean and Director summarizing the results of the research conducted during the assignment. The report is due no later than three months after returning from leave.
- Failure to meet any of the conditions listed above may render faculty ineligible for a subsequent leave assignment. That decision will rest with the Dean and Director.

**Expectations**
The proposed project should hold promise of professional faculty development and/or enhancement of institutional reputation. The project must have the potential of leading to a meaningful contribution in its field. Publication should be the ultimate aim of the project. Writing books, preparing existing large data sets for publication, or learning new research methods are acceptable undertakings, but a product is still expected for the latter. Thus, the faculty member must have a definite goal in mind for use of the new research technology. Curriculum development and enhancement is also an acceptable undertaking, but a definitive product is expected and prior recommendation by the Academic Council is desirable.

**Application**
The Office of the Dean and Director will issue a call for Research Assignments applications in January and August of each year. It is best to apply at least six months prior to the date of taking leave. A short proposal of the activity, justification, and expected products are required along with a current CV in the standard College format. The application should state specifically what the faculty member intends to do and be treated as if it were a proposal to a granting agency; it should be concise and include sufficient detail to withstand review. Discuss the current status of the project as well as the probable state of completion this Faculty Research Assignment would make possible.

The application is limited to a cover page and two (2) additional pages of text. Supplementary material such as literature cited, invitation letters, figures, tables, etc. can be included as additional pages. The cover page should contain the following:

- Name:
- Title of Project:
- Proposed Duration of Assignment with Start and End Dates:
- Months of Salary Support Requested:
- Amount and Source of Other Salary Support:

Submit electronic versions of the application and a current Curriculum Vitae (standard College format) to the Faculty Council Chair by the date specified in the latest call for applications.

**Criteria and Procedures for Review**
The Faculty Council will meet within a month of the closing date to evaluate the applications. Faculty Council members are eligible to submit applications, except the Chair during the first two years of service. Members who submit applications will not review any applications; the alternate for that Department will replace the member for purposes of application review.

Applications will be evaluated on the basis of merit (including the clarity of the proposal) and the applicant’s productivity. It is the responsibility of the applicant to demonstrate that the proposed activity satisfies the following:

a) Regarding merit: research is considered to consist of discovery, creation, invention, or creative synthesis of new knowledge. Therefore, the proposed project should have potential of leading to a meaningful contribution in its field. Clarity is taken by the Faculty Council to be a mark of good scholarship, therefore the application should state specifically what the applicant intends to do and it should make the project comprehensible to colleagues who are not experts in the applicant’s field.

b) Regarding productivity: productivity is defined as the publication of the research in peer-reviewed formats (recognized journals and periodicals, monographs, etc.), or its dissemination through the applicant’s active participation in peer-reviewed conferences or other accepted forms of research communication in the applicant’s discipline. In evaluation of the productivity of the applicant the Faculty Council will take into account: (1) potential for publication or similar types of dissemination appropriate to the discipline; (2) prior research record of the applicant, including the existence of tangible results from previous research support; (3) grants received or applied for by the applicant in the most recent period prior to the application.

The Council reserves the option to solicit external review of proposals should it so desire. If the proposal requires approval by the Institutional Animal Care and Use Committee, it should be submitted to that committee prior to submission to the Faculty Council. A proposal to work at another institution will require approval of that institution’s animal use committee. Final approval of the Faculty Council will await approval by the appropriate committee.

The final ranking of applications will be by majority vote of the Council. Following the evaluation of applications based on these criteria, among proposals of comparable quality, special consideration will be given first to applicants who have not previously received a faculty research assignment, and second to applicants who have not received a faculty research assignment in more than six years. Based on the rankings, the Chair of the Faculty Council will prepare for consideration by the Dean and Director a prioritized list of faculty recommended for Research Assignments. Recommendations by the Council will be forwarded to the Dean and Director within two weeks of application review. It is the responsibility of the Chair of the Faculty Council to respond to inquiries regarding the disposition of applications. If an application is declined, the Chair will provide the applicant with a brief written explanation of the decision. The applicant has the option of meeting with the Faculty Council to discuss the decision.

Late or Out of Cycle Applications
A faculty member provided with a special opportunity to conduct research that cannot wait for a normal review cycle and necessitates a quick decision may file an application for a research assignment after the deadline. In addition to the application in usual form, the faculty member must submit a statement (not to exceed two typed pages) that explains the special circumstances that would require granting a faculty research assignment out of cycle. Under these circumstances, the Council will consider the application.

**The Role of the Dean and Director**
Final decision on Faculty Research Assignments will rest with the Dean and Director. Institutional and programmatic considerations may affect the timing of leave, and the Dean and Director will work with faculty who are selected for leave to ensure that the timing is mutually acceptable. Following each call for proposals, the Dean and Director will report his final decision to the Faculty Council, and provide rationale for decisions that diverge from recommendations of the Faculty Council. In unusual circumstances, the Dean and Director may grant leave that falls outside the scope of these policies and procedures.

**Teaching/Research/Advisory Responsibilities**
Replacements for teaching, mandated research, and/or necessary advisory activities will be the responsibility of the Administration and the affected Department, not of the faculty member on leave. In some cases a Research Assignment could be deferred because of teaching, research, or advisory duties, but every attempt will be made to provide the necessary support in order to avoid delays.

(Revised and approved by the Dean and Director and Faculty Council January 28, 2005)
(Revised by the Faculty Council and approved by the Dean and Director, November 2009)

Date: July 1, 2009; rev 1, December 8, 2009, May 10, 2010.
Policy and Procedure Document
Virginia Institute of Marine Science
College of William & Mary

Number: PPD - 1307
Subject: Faculty Clearance/Sign-Out

Under revision

Date: September 25, 2009
Title: Instructional, Administrative and Professional Faculty Clearance Policy and Procedures  
Effective Date: December 1, 2006  
Page: 1 of 1  
Responsible Office: Provost’s Office

1. PURPOSE to ensure that any full-time or part-time instructional, administrative, or professional faculty member, including post-doctoral fellows, terminating his or her employment with The College or William and Mary has satisfied any obligations to the college and has the information and assistance necessary to facilitate a smooth transition.

2. POLICY STATEMENT It is the policy of the College of William and Mary that a faculty member who terminates his or her employment with the college will return all property, pay all fees and fines, and/or complete all assignments due the college prior to departure. Faculty will verify that all obligations have been met by completing a clearance Form (Attachment A). Faculty who retire from the college as Emeriti have a continuing connection to the college and will be permitted to retain their college ID card, E-mail account, library privileges, and parking privileges ( contingent on clearing any unpaid fines). They may, with the knowledge and consent of the chair of their home department or dean, retain a key to appropriate working areas of the Department or School and may, for mutually agreed-upon professional reasons, continue to have photocopying, stationary, mail, and other privileges. Such privileges are subject to periodic review by the chair or dean based on availability of unit resources for faculty, staff, and students.

3. PROCEDURES Tenure-eligible, tenured, or specified term faculty serving for at least one academic year shall be informed in writing at least several months in advance of his or her termination date of the requirement to observe this clearance policy. Responsibility for conveying this information lies with the faculty member’s chair, program director, or dean or immediate supervisor in the case of administrative and professional faculty. Part-time or semester-only faculty shall be provided this policy at the time of employment.

The faculty member should then obtain a Clearance Form from his or her department chair, program director, or dean or from the office of the Provost website [http://www.wm.edu/provost/policies.php](http://www.wm.edu/provost/policies.php). The faculty member is responsible for obtaining the signatures and submitting the completed form to the office of the Provost prior to his or her departure. Faculty members with joint appointments or having faculty privileges in more than one department, program, or school must obtain clearance from all units as appropriate.

If a faculty member leave the college without completing the Clearance Form, the Office of the Provost will take appropriate action, which might include withholding a portion of all of the faculty member’s final paycheck at issue or, in the case of a retiring faculty member, withholding certain privileges of emeritus status.

4. INTERPRETATION AND REVISION OF POLICY The Office of the Provost interprets this policy; any changes to this policy shall be made pursuant to the procedure for amendments contained in Section IV of the Faculty Handbook.

Approved by the Faculty Assembly, October 28, 2006
INSTRUCTIONAL, ADMINISTRATIVE AND PROFESSIONAL FACULTY CLEARANCE FORM

NAME: Last, First, Middle          Date

_________________________________          _________________________________
Home Department/Program/School/          New Address (Work or Home)
Administrative Office (if applicable)

_________________________________          _________________________________
Position          New Telephone Number (including area code)

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<th>Location</th>
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<td>Your Academic / Administrative Unit(s)</td>
<td>Removal of access to administrative systems, collection of travel and small purchase cards, keys* and college identification cards*. Return all loaned equipment* (including computers and software). Resolve all travel advances or other miscellaneous accounts receivable, return any institutional credit cards. Instructional faculty submit grades and student records. Instructional faculty should be particularly attentive to secure retention of student records that might fall under the Family Education and Privacy Act (FERPA).</td>
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<td>Faculty holding H1-B or J-1 visas must be cleared by the Office of International Students, Scholars, and programs</td>
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<td>Provost’s office</td>
<td>Certify that any books, periodicals, media, loaned equipment, library cards*, and outstanding fines have been cleared with Swem Library, other college Libraries, and/or Parking Services as appropriate.</td>
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*may not apply to emeriti; see Paragraph 2 of Faculty Clearance Policy and Procedures.

Faculty Member Signature          Date          Provost’s Office Signature          Date
Number: PPD - 1308
Subject: Procedures and Criteria for Appointment, Evaluation, retention, Promotion and Award of Tenure of the Committee on Faculty Status and Tenure Review

The following document, Procedures and Criteria for Appointment, Evaluation, Retention, Promotion and Award of Tenure of the Committee on Faculty Status and Tenure Review, has been approved by the faculty of the Virginia Institute of Marine Science and by the Procedural Review of the College of William & Mary.
College of William and Mary
Virginia Institute of Marine Science
School of Marine Science

Procedures and Criteria for Appointment, Evaluation, Retention, Promotion and Award of Tenure

of the

Committee on Faculty Status and Tenure Review

March 25, 2009

1 The current revision (approved by the VIMS Faculty March 25, 2009) incorporates language that is intended to bring the document into conformity with the Faculty Handbook of the College of William & Mary (2008), the Bylaws of the Virginia Institute of Marine Science (approved by the Procedural Review Committee of the College of William and Mary, 15 April 2008); the Policy and Procedures for Appointment of Research Faculty, Research Scientists and Post-Doctoral Scientists (approved by the Procedural Review Committee of the College of William and Mary, 20 December 2007); Memo from Provost Feiss to Deans, dated September 7, 2006 entitled Promotion, Tenure and Interim Reviews. As stated in the Faculty Handbook, the content of the memo was endorsed by the Faculty Assembly on 25 April 2006. The memo can be found at: http://www.wm.edu/about/administration/provost/documents/promotion_and_tenure.pdf.

2 The original Procedures and Criteria document was approved on 19 October 1979. It was revised on 19 November 1982; 8 August 1983; 23 May 1984; 22 August 1984; 19 February 1986; 21 May 1986; 21 May 1987; and 5 June 1997.

3 A draft (dated November 21, 2008) incorporated edits and comments of members of the FS&TR: Schaffner, Kuehl, Lipcius, Reece, Steinberg and minor edits to a previous version (FS&TR_P&C_draft_(all FS&TR edits)_090808.doc)

4 This draft (dated February 25, 2009) incorporates edits and comments of all departments made via FC representatives: Biological (Smith and Seitz), EAAH (Shields), Fisheries (Sutton, Hoenig), Physical (Maa, Shen), FC Chair (Hershner))

5 Approved by the Procedural Review Committee of William & Mary on September 3, 2009.
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I. Purpose of the Committee

The Committee on Faculty Status and Tenure Review (hereafter FS&TR) has been established by the Faculty of the Virginia Institute of Marine Science (hereafter Faculty and VIMS) to evaluate faculty performance and insure faculty development. Evaluations for tenure, promotion and post-tenure review are guided by the criteria, general policies and procedures described in the College of William and Mary Faculty Handbook Section III.C Procedures for the Evaluation of Faculty. At VIMS, these reviews shall be conducted in accordance with the expectations of academic institutions in general (i.e. scholarship, teaching, service), consideration of our mission and long-term goals, and recognition of the Institute’s unique role within the College as an advisory body to the Commonwealth of Virginia.

II. Authorization of the Committee on Faculty Status and Tenure Review in the Bylaws

The Bylaws of the Virginia Institute of Marine Science and the School of Marine Science of the College of William and Mary recognize and establish faculty appointments within the Virginia Institute of Marine Science. The VIMS Bylaws (hereafter Bylaws) also stipulate the composition and duties of the FS&TR.

A. Composition

The FS&TR consists of one faculty member from each Department plus one additional member representing the Faculty at-large. Members of the FS&TR must be from the tenured Faculty, at the Associate Professor or Professor level, excluding Department Chairs and Administrative Faculty, and are elected according to the procedures stated in the Bylaws. Terms of office are staggered so that approximately one third (1/3) of the members are elected annually. New members are elected at the Spring meeting of the Faculty and assume office on July 1. The FS&TR elects its Chair annually from among the membership at the first meeting with new members. Vacancies created by resignation or other cause will be filled for the remaining term by the represented department by departmental vote. Vacancies created by resignation or other cause of the at-large member will be filled for the remaining term by Faculty Council appointment.

A majority vote for the purposes of all committee actions shall be the majority from a quorum of members attending any called meeting of the FS&TR. A quorum shall be one less than the number of elected members, except that no FS&TR member shall vote on his/her own status or when he/she has a clear conflict on interest.

B. Duties

The FS&TR, according to policies, procedures, and criteria approved by the Faculty, and the Dean/Director, reviewed by the Procedural Review Committee of The College, and recorded by the Personnel Policy Committee of the College will:

1) Review the credentials of applicants for Faculty status and make recommendations regarding Faculty appointments, rank, and status to the Dean/Director, to be forwarded through the Provost and President to
the Board of Visitors of The College;

2) In accord with established schedules, review the record of Faculty members and make recommendations to the Dean/Director regarding Faculty promotion, retention, the award of tenure and, when required, post-tenure review;

3) Review Faculty appeals of annual performance evaluations and provide findings and recommendations to the Dean/Director and;

4) Develop procedures for the appeal of its decisions by Faculty.

All actions of the Committee will be consistent with the provisions of the Bylaws and the Faculty Handbook.

III. Fundamental Principles and Criteria for all Evaluations

A. General Principles and Criteria

The College recognizes two categories of faculty employment as stipulated in the Faculty Handbook: (1) Tenure-eligible and Tenured Faculty and (2) Specified Term and Part-time Faculty. Specified-term and part-time faculty do not have tenure, and their appointments depend on the teaching needs of the College, on research opportunities, and on available funds. The Faculty Handbook states “The categories shall be employed in a manner that fosters each Faculty's particular mission as well as improvement in the overall quality of the faculty.”

Tenured and tenure-eligible Faculty are distinguished by an irrevocable obligation to participate significantly in the graduate education program of the School of Marine Science (SMS). Composition of the tenure-eligible faculty is determined primarily by 1) curriculum needs of the SMS identified by the Academic Council in consultation with the Dean of Graduate Studies, 2) research profiles that allow scholarly achievement in one or more disciplines identified as strategically important to VIMS, and 3) a general requirement to participate in advisory service. All tenured and tenure-eligible Faculty appointments at VIMS must conform to requirements in the College’s Faculty Handbook. Titles for persons who hold these appointments are Assistant Professor, Associate Professor and Professor.6

Research Faculty (Specified-Term Appointment) are tenure-ineligible. These appointments are made primarily on the basis of need within the research and advisory service missions. Individuals holding these appointments must establish an independent program of research or advisory service or both that have a level of scholarship equal to that of the tenured and tenure-eligible faculty. Titles for persons who hold these appointments are Research Assistant Professor, Research Associate Professor, and Research Professor.7

All faculty members, whatever their category of employment, shall be reviewed by FS&TR for initial appointment, retention, promotion, or tenure, if applicable, according to the criteria stated in Section

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6 This paragraph is excerpted from the document Policy and Procedures for Appointment of Research Faculty, Research Scientists and Post-Doctoral Scientists (approved by the VIMS/School of Marine Science Faculty November 2006)

7 same as above
III.C. of the *Faculty Handbook*. These criteria are:

1. Possession of the professional education, experience and degrees appropriate for their duties;

2. Conscientious and effective teaching with proper command of the material of their fields, and helpfulness to their students;

3. Significant contributions to their fields through research and scholarly or creative activity, and through professional service;

4. Responsible participation in College governance.

The *Faculty Handbook* states “Each case shall be judged on its own merits and not on comparisons with previous decisions.” The FS&TR will treat each case individually, considering the category of employment and the particular strengths and interests of the faculty member (or potential faculty member) under review. All reviews should be conducted in a way that will foster a Faculty member’s development throughout their career.

The level of achievement expected of candidates under review will naturally depend on the type of decision: appointment, retention, promotion, or award of tenure. For all faculty, excellence is required in those areas that represent their primary commitments or responsibilities. For tenured and tenure-eligible faculty, general competence is required with respect to all four criteria, however, individuals will not necessarily have equal commitments or responsibilities under each criterion. For specified-term faculty the profile expectations will be as outlined in the contract, and as determined in consultation with an individual’s Department Chair during the annual planning process. These expectations should be developed within the context of the general expectations for Faculty as reflected in the criteria given in the *Faculty Handbook* and listed above.

An Assistant Professor or Research Assistant Professor should hold a terminal degree (usually the Ph.D.) in his/her field of specialization or have comparable research experience, and should have potential for research, and service commensurate with the VIMS mission. Promotion beyond this level should indicate that the candidate's potential as a scientist is being realized and that his/her value to the long-range objectives of VIMS is insured. In addition, an Assistant Professor is expected to teach and mentor students, and promotion above this level should indicate that the individual’s potential as an educator is being fulfilled.

An Associate Professor or Research Associate Professor should, in addition, have extensive experience in his/her research field, demonstrated success in directing the work of others, demonstrated significant scholarly activity, and be recognized at the national level for emerging leadership, service and scholarly contributions to his/her specialty. Associate Professors are further expected to have demonstrated experience in teaching and mentoring students, including as major advisor.

A Professor or Research Professor should, in addition to the expectations above, have demonstrated outstanding and continuing scholarly activity in his/her field, and be recognized at the national and international levels for significant leadership, service and scholarly contributions to that field. A Professor will have extensive experience in teaching and will have demonstrated their value as a mentor to their students.

Appointment to the Faculty should further reflect a faculty member’s commitment to Faculty governance.

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8 The College of William and Mary *Faculty Handbook* (2008), Section III.C.1.b
Research Faculty may teach and mentor students if time and funding-agency regulations permit this option, and if they receive the necessary approval from the Academic Council, Dean of Graduate Studies and their respective Department Chair. They will be evaluated in this area on a case-by-case basis.

B. Comments on Evaluation Criteria

Professional Background

Degrees: For Assistant Professor and Assistant Research Professor and above, the Ph.D. degree or equivalent is normally expected. Under conditions of demonstrated exceptional contributions over a sustained period, the normal degree requirements may be waived.

Conscientious and Effective Teaching

Teaching: All elements of teaching (both undergraduate and graduate) will be evaluated including an individual’s course materials and progress in mentoring and student guidance. In addition, both faculty and student evaluations of the effectiveness of his/her teaching and advising will be considered. These evaluations will be summarized in letters to the FS&TR from the Department Chair and Dean of Graduate Studies. Teaching is defined as contributing to the curriculum in a classroom or seminar setting. Mentoring is defined as consistent and substantial service as an academic advisor, especially as a major professor.

Significant Contributions Through Research and Professional Service

Professional Communication: The level of professional communication warrants particular attention since communicating the results of scholarly activity is the principal mechanism of dissemination. Such dissemination influences the stature of VIMS and the College as a whole. Publication in refereed media is the appropriate end-product of research and scholarship.

Advisory Work: Service to the Commonwealth means service to the Agencies of the Commonwealth, the Governor's Offices and General Assembly, to local governments, to industry, to public interest groups, and to the general public. VIMS faculty also engage in service to regional, National and international government agencies and to industry, public interest groups and the general public outside of the Commonwealth.

Professional Service: Service to regional, national and international scientific review and policy boards and professional organizations, as a board member or elected officer, enhances the stature of VIMS and the College as a whole.

C. Sources of Information for Faculty Evaluations

The sources of information submitted by the faculty member are:

1. A Narrative Statement of approximately three pages. This document should highlight the individual’s overall goals and accomplishments as a faculty member with respect to teaching, research, and service (both professional and advisory).
2. Planning Letter and Evaluation from the most recent annual review cycle
3. Curriculum Vitae in W&M/VIMS format
4. **A List of External Reviewers** (minimum of six and maximum of eight peers or clients)
5. **A List of Students and Post Docs** mentored
6. **Publications** (since arrival at VIMS)

In addition, the FS&TR the may request other relevant materials that relate to a faculty member’s professional activities, which are not listed above. Only items 1-3 are included for the interim review. The committee will solicit opinions of external reviewers, Dean of Graduate Studies (based on the category of employment and the approved profile), Director for Research and Advisory Service, the faculty member’s Department Chair, other members of the department, the Faculty of VIMS, at large, and present and former students. As stipulated in the *Faculty Handbook*, the FS&TR “will consider all relevant information obtained for the evaluation, which must include students’ evaluations of the candidates’ teaching; tenure and promotion reviews shall include the opinion of experts outside the College.”

External reviewers “should come from programs, institutions or agencies of a quality commensurate with the reputation and standards of the College of William and Mary. Letters should be solicited whenever possible from individuals at or above the rank to which the candidate is being promoted.”9 Letters should not be solicited from individuals with whom the Candidate has a professional or personal relationship such that it would cast doubt upon the objectivity of the reviewer.10 Approximately four (4) of the external reviewers will be selected from the list submitted by the individual, and an additional four (4) will be professional peers and clients in the faculty member’s field, but external to the College faculty, who are known to the FS&TR.11

The *Curriculum Vitae* will include the information listed below, following the same format used during the annual evaluation process.

1. **Professional Background**
   - Professional Training:
     - Degrees
     - Present Rank and Date of Appointment
   - Total Experience:
     - Previous Faculty Experience
     - Previous Non-Faculty Experience

2. **Conscientious and Effective Teaching In Degree Related Programs** (note: profile-dependent for Research Faculty)
   - Instruction:
     - Sole Instructor
     - Lecture Courses
     - Seminar Courses
     - Directed Readings Courses
     - Team Teaching
     - Occasional Lectures
   - Research and Educational Guidance (Extent and Quality):
     - Major Professor or Advisor - Undergraduate, M.S., Ph.D. Committee

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9 Memo from Provost Feiss to Deans, dated September 7, 2006
10 as above
11 Per the September 2006 memo from Provost Feiss to Deans, review committees for tenure and promotion shall provide Candidates with access to the reviews if requested, but will redact the name of a reviewer and any other information that might identify the reviewer.
Within Field  
Out of Field  
Committees at Other Universities  
Student Evaluations

3. Significant Contributions Through Research and Professional Service  
   Professional Communications:  
     Refereed Publications in Journals  
     Conference Proceedings  
     Books and Contributions to Books  
     Distributed Non-review Publications  
     Conference Proceedings, Virginia Institute of Marine Science papers in Marine Science  
     Other Virginia Institute of Marine Science Publication Series  
     Contract Reports (significant final reports only; where possible, include information on any outcome resulting from the product)  
     Oral Presentations (documentation of such activities should be available)  
     Society Meetings with Published Abstracts  
     Presentations without Published Abstracts  
     Invited Presentations (documentation should be available)  
   Advisory Work:  
     Service to the Commonwealth  
     Service to the Nation  
     International Service  
   Professional Service Related to Research:  
     Review of Manuscripts for Journals  
     Grant Proposal Review  
     Appointments to National or International Review and Policy Boards  
     Appointments as Editor or Associate Editor of Peer-Reviewed Journals  
     Appointments or Elected Positions in Professional Organizations  
   Research Administration:  
     Project Administration  
     Grant/Contract Initiation  
     Principal Investigator Status  
   Educational Service:  
     College Level Programs (non-degree in Marine Science)  
     Elementary and Secondary Level Programs  
     Public -At Large

4. Responsible Participation in Department, School and College Governance  
   Academic Administration  
   Committee Activity (Elected and/or Appointed)  
   Virginia Institute of Marine Science  
   School of Marine Science  
   College of William and Mary

5. Honors and Awards

**D. Minimum Terms**
To determine the sustained level of productivity of a faculty member, the normal minimum term before review for promotion to Associate or Research Associate Professor shall be five (5) years, whereas for review for promotion to Professor or Research Professor, a minimum term of six (6) years at the Associate or Research Associate Professor level shall normally be required. Time in service on the faculty at other institutions may be considered in recommendations for initial faculty status for new faculty members who have outstanding faculty experience. The minimum time criterion may be waived by the Dean/Director in consultation with the FS&TR when unusual circumstances arise and the best interests of VIMS are advanced.

The *Faculty Handbook* states the following with respect to the timing of the tenure review for Assistant Professors: “Per AAUP guidelines, the probationary period for a faculty member in a full-time position shall not exceed seven years, including full-time service at another accredited institution of higher learning…” except as noted in Section III.C.1.ii of the *Faculty Handbook*.

### E. Evaluation Schedule

To ensure that all regular evaluations for tenure and promotion are performed at the proper time during the annual cycle, the FS&TR has established an approximate timetable for the evaluation process:

Table 1. Approximate timetable for the retention, promotion and award of tenure review processes within VIMS. All dates reflect the desired schedule of considerations.

<table>
<thead>
<tr>
<th>Date</th>
<th>Procedure</th>
</tr>
</thead>
<tbody>
<tr>
<td>15 January</td>
<td>FS&amp;TR obtains list of faculty eligible for retention, promotion and/or tenure in the coming academic year from Office of Dean/Director; list is sent to Department Chairs</td>
</tr>
<tr>
<td>Annual evaluation meeting – late winter</td>
<td>Department Chairs and candidates discuss retention, promotion and/or tenure schedule</td>
</tr>
<tr>
<td>1 July</td>
<td>Dean/Director sends letters to candidates requesting evaluation materials for retention, promotion and/or tenure (this is change from FS&amp;TR)</td>
</tr>
<tr>
<td>End of 4th week of July</td>
<td>Evaluation package, including list of external reviewers, due to Department Chair; list of external reviewers due to FS&amp;TR</td>
</tr>
<tr>
<td>1st week of September</td>
<td>Department meeting and vote on each candidate’s application for retention, promotion and/or tenure</td>
</tr>
<tr>
<td>End of 1st week of September</td>
<td>Department Chair provides to FS&amp;TR written results of the discussion and vote; Candidate submits package to FS&amp;TR</td>
</tr>
<tr>
<td>15 September</td>
<td>Selection of external peers for review of evaluation package</td>
</tr>
<tr>
<td>1 December</td>
<td>Draft decision letters forwarded to candidates</td>
</tr>
<tr>
<td>15 December</td>
<td>FS&amp;TR sends recommendation letters to Dean/Director</td>
</tr>
<tr>
<td>15 January</td>
<td>Dean/Director sends decisions on award of tenure and promotion to Provost</td>
</tr>
<tr>
<td>15 April</td>
<td>Board of Visitors makes decisions on all promotions and award of tenure</td>
</tr>
</tbody>
</table>
IV. Evaluation Procedures for Appointment, Retention, Promotion, and Award of Tenure for Tenure Eligible Faculty Members

A. Initial Appointment to the Faculty of the Virginia Institute of Marine Science

All nominees for an initial appointment to the Faculty of the VIMS shall be reviewed before release of the “Letter of Intent to Employ.” The Dean/Director shall, anytime before release of the letter, forward to the FS&TR all materials pertinent to evaluation of the candidate selected for any position (including but not limited to the resume, description of prior research and academic experience, and letters of recommendation) that were collected by the Search Committee along with any proposal for initial status and award of tenure. The FS&TR shall, within ten (10) working days, review these materials, and develop a recommendation by majority vote. The FS&TR shall forward to the Dean/Director its recommendation (including any minority views) regarding rank and status, noting especially specific recommendations regarding any required probationary period before the award of tenure or a tenure review. In the event that the recommendation of the Dean/Director differs from that of the FS&TR, he/she shall meet with the FS&TR to discuss and resolve the difference before releasing the letter. It is appropriate that a consensus be achieved at this time.

Based on the recommendation of the FS&TR and the Dean/Director regarding rank and tenure, the Letter of Intent to Employ or other contractual agreement shall clearly state the rank and type of appointment offer, the amount of prior service (if any) credited toward tenure, and the year for the interim review by FS&TR (accounting for prior service credited toward tenure). While VIMS recognizes prior service at other institutions of higher learning and may give credit for such service, the Institute reserves the right to require a probationary period of employment before an award of tenure recommendation is forwarded to the Provost. For faculty members with short periods of probation based on credit for academic employment elsewhere, the Dean/Director's Letter of Intent to Employ will schedule an interim review unless a tenure review is scheduled during the first three years of service at the Virginia Institute of Marine Science.

During the first annual evaluation of a newly hired member of the Faculty, the Department Chair will review with them the procedures for retention, promotion and the award of tenure, including the general principles and criteria used to evaluate faculty performance as outlined in this document.

B. Reviews for Retention, Promotion, and Award of Tenure

The first review following initial appointment shall occur no earlier than the fourth semester and no later than the sixth semester of the appointment, unless another length of probation is stipulated in the Letter of Intent and initial contract, or the tenure review is scheduled within the first three years of the appointment. The purpose of this review is to assess each probationary faculty member's progress toward and potential for a positive tenure decision, and may result in a recommendation for improvement or a recommendation against retention.

The second review following initial appointment shall occur at the beginning of the fifth year of employment; conditions for extension of this time period are outlined in the Faculty Handbook.
III.C.1.b.ii. The purpose of the review is to evaluate the individual for promotion and award of tenure. The faculty member, with the concurrence of the Department Chair and the Dean/Director, may initiate the review for promotion and tenure in advance of the scheduled review date.

On or about 15 January each year, the Dean/Director shall identify those individuals who are subject to retention, promotion and award of tenure review during the coming academic year. The Dean/Director will notify the Committee and the appropriate Department Chairs prior to the annual evaluation cycle. It is appropriate for Department Chairs to discuss the retention, promotion and tenure review processes and expectations with faculty members as part of the annual evaluation process. Faculty requiring retention or tenure decisions and those eligible for promotion review shall be given written notification by the Dean/Director on or around 1 July of each year. The notices shall include a request for information pertinent to the review as stipulated in this document.

The faculty member to be reviewed (hereafter Candidate) shall, within 20 working days after notification of intent to review, submit to the Department Chair all materials that he/she deems appropriate (see list in III, B; other materials may be provided as deemed appropriate by the Candidate). It is the responsibility of each Candidate to respond to a request in accordance to the stipulated time-line; failure to do so may result in no action being taken by the Department or the Committee. It is important that a list of reviewers be delivered to the Department Chair with the review materials and also sent by the Candidate to the Committee at the same time. Reviewers should be from programs, institutions or agencies of a quality commensurate with the reputation and standards of the College of William and Mary.

The Department Chair will send a copy of the materials submitted for review by the Candidate, excluding the list of externals reviewers, to the faculty of the department. Faculty within the Candidate’s department will meet during the first week of September to discuss the merits of the Candidate, and tenured faculty of equal or higher rank will indicate by voting whether they support retention, promotion or the award of tenure. “Untenured faculty may not participate in decisions on promotion and tenure in any formal way.” Procedures to be followed in such meetings are the prerogative of each Department.

After the discussion, the Department Chair will summarize in writing the Department recommendation for the Candidate and FS&TR. If the majority of those faculty eligible to vote do not support retention, promotion or the award of tenure, the Candidate will be notified by the Department Chair and will have the option to withdraw his/her application. However, the Candidate may also request that his/her materials be reviewed by FS&TR in full knowledge of the Departmental discussion. All Candidates eligible for retention and award of tenure will be reviewed. The Department Chair is responsible for forwarding a letter stating the vote of the department to the FS&TR by the end of the first week of September.

Candidates being considered for retention, promotion and tenure will submit all requested materials to FS&TR by the end of the first week of September. Materials for promotion and tenure reviews will then be sent to external reviewers, except in the case of those seeking promotion without a tenure decision who have decided to withdraw their application. The external reviewers will be asked to evaluate the candidate's effectiveness in the areas of research, teaching and service. At the same time, the FS&TR will make each Candidate’s CV, narrative and publications available to the VIMS Faculty and will seek their comments on the Candidate’s suitability for promotion and tenure.

The FS&TR shall review all materials received and develop a recommendation by majority vote. It shall then provide to each Candidate a draft copy of the evaluation and recommendation at least ten (10) working days before submission to the Dean/Director.

12 Provost Feiss’s memo to Deans, September 2006
13 Provost Feiss’s memo to Deans, September 2006
If the Candidate believes that the decision was based on inadequate consideration, he/she may within ten (10) working days of receipt of the draft evaluation and recommendation from the FS&TR, request in writing further review. He/she may submit additional materials as may be appropriate, and comments solicited from additional peers. Upon the written request and submission of additional materials, the FS&TR shall undertake a timely review (generally within 10 working days) and notify the Candidate of the results. If the review action by the FS&TR does not satisfy the affected faculty member, he/she may make written request for an appearance before the committee and the Dean/Director. Within five (5) working days following the special meeting, the FS&TR shall deliver its final written recommendation (and any minority views) to the Candidate and Dean/Director. Both the committee’s vote and the date of that vote will be recorded.

The Dean/Director shall review the final written recommendation of the FS&TR and the recommendations from the Department Chair and departmental faculty. If a difference exists between reports, the FS&TR and the Dean/Director shall meet to discuss and attempt to resolve them. The Dean/Director shall then forward his/her written recommendation to the Provost of the College along with the FS&TR evaluation and recommendation document and other supporting documentation, including copies of the letters sent to external reviewers, a CV for each external reviewer and an explanation of how the reviewers were chosen.

Appeals of recommendations by the FS&TR or the Dean/Director are permitted on procedural grounds as described in the Faculty Handbook Section III.C.1.d.

To comply with deadlines for faculty contracts and termination notices as set forth in the current Faculty Handbook, the final dates by which all reviews shall be completed and recommendations forwarded to the Dean/Director are outlined below:

Promotion and Tenure Proposals: 15 December  
Probationary faculty interim review for retention: fourth Friday of March

V. Evaluation Procedures for Post-Tenure Review

As stated in the Faculty Handbook “The purpose of the post-tenure review is to provide a mechanism for faculty peers to review and evaluate a colleague’s work and to assist those faculty members whose performance is found to require improvement. It is not a re-tenuring process and faculty members, once tenured, are not required to meet periodically what may be an evolving standard for tenure. Rather, post-tenure review is designed to ensure that all members of the faculty, regardless of status or length of service, are performing their duties conscientiously and with professional competence.”

Post-tenure review is conducted in accordance with the standards and procedures outlined in Section III.C.1.c of the Faculty Handbook.

At VIMS, post-tenure reviews are conducted when the department chair determines, based on annual merit reviews, that a faculty member’s performance during the most recent three-year period has been unsatisfactory overall. The post-tenure review is conducted by FS&TR. The post-tenure review shall commence by or before the beginning of the next academic year and be completed by the end of the Fall semester; it shall consider the faculty member’s performance in the areas of teaching, research, service and governance over the six years preceding the review. The basic standard for appraisal shall be whether
the faculty member under review discharges conscientiously and with professional competence the duties appropriately associated with his or her position.

Post-tenure reviews shall result in a determination of either “satisfactory overall performance” or “unsatisfactory overall performance.” The FS&TR will consider a current curriculum vitae and annual review materials, including the annual planning and narrative statements prepared by the faculty member, as well as the annual evaluations from the Department Chair for the period under review. The FS&TR’s review will approximate the detail of tenure or promotion reviews. While external reviews are not required (Faculty Handbook 2008), the Committee will seek external reviews when either the faculty member or the Committee considers it appropriate. The FS&TR shall review all materials received and develop its review by majority vote.

The FS&TR shall submit the report of its findings to the Department Chair and to the Dean/Director. Where appropriate, the department chair may request additional information or may append comments to the report; he or she shall evaluate the performance as “satisfactory overall” or “unsatisfactory overall” and submit the report to the Dean/Director. The Dean/Director may also request additional information or append comments.

- Where the FS&TR, the Department Chair and the Dean/Director are in agreement that the performance is “satisfactory overall,” the decision is final. The Dean/Director shall forward a report to the Provost for his/her information.
- Where the FS&TR, the Department Chair and the Dean/Director are in agreement that the performance is “unsatisfactory overall,” the decision is final, subject to appeal as described below. An “individual improvement plan” shall be developed according to the procedures set forth below, and the Dean/Director shall forward a report to the Provost for his/her information.
- Where the FS&TR, the department chair and/or the Dean/Director disagree, the Dean/Director shall forward the reports to the Provost for decision.

A faculty member who receives a finding of “unsatisfactory overall performance” may pursue a grievance according to the procedures set forth in Section III.G. of the Faculty Handbook.

When a faculty member’s post-tenure review results in a finding of “unsatisfactory overall performance,” the faculty member, in consultation with FS&TR, the Department Chair and the Dean/Director shall develop an “individual improvement plan” to address the area(s) of deficiency. The plan must be acceptable to the committee, the department chair and the Dean/Director. Unless, upon the recommendation of the Dean/Director, the Provost grants an extension, the plan must be accepted no later than forty-five calendar days from the date the faculty member receives notice of a finding of “unsatisfactory overall performance” as determined under the provisions of Section III.C.1.c. above, or forty-five calendar days from the date the faculty member receives notice that an appeal of such a finding has been denied, whichever last occurs. Where agreement cannot be reached, the final determination of whether or not an “individual improvement plan” is acceptable ultimately belongs to the Dean/Director; however, in deciding whether or not to approve the plan, the Dean/Director shall apply the standards of the specific program, department, and/or school for “satisfactory overall performance.” A copy of the approved plan shall be included in the faculty member’s personnel file.

If a faculty member fails to submit within ten (10) working days and in writing an acceptable improvement plan, the Dean/Director, after consulting with FS&TR and the Department Chair may seek impositions of sanctions, including dismissal, for misconduct or neglect of duty in accordance with Section III.F.4. of the Faculty Handbook. Sanctions (excepting dismissal) do not obviate the need for improvement in performance; the Dean shall also order revision and resubmission of the performance plan.
The guidelines for follow-up reviews will be as detailed in the Faculty Handbook Section III.C.1.c.ii.

Insuring the integrity of the post-tenure review process is a duty of the Provost. To that end, the Dean/Director shall present an annual report to the Provost about the functioning of the post-tenure review process in VIMS. In addition to the duties described above and in Section III.C.1.c.ii of the Faculty Handbook, the Provost may grant an extension of any deadline in the process upon recommendation of the Dean/Director; the Provost also has the authority to postpone the post-tenure review process for an individual faculty member if the Provost decides that it is in the College’s interest to do so.

VI. Evaluation Procedures for Appointment, Retention, and Promotion for Tenure-Ineligible Faculty Members

A. Initial Appointment to the Faculty of the Virginia Institute of Marine Science

All nominees for an initial appointment to a tenure-ineligible faculty position at VIMS shall, regardless of the method of selection, be reviewed by the FS&TR. The Dean/Director shall forward to the FS&TR all materials pertinent to evaluation of the candidate selected for any position (including but not limited to curriculum vitae, description of prior research and academic experience, and letters of recommendation) that were collected, along with any proposal for initial status. The FS&TR shall, within ten (10) working days, review these materials and develop a recommendation by majority vote. The FS&TR shall forward to the Dean/Director their recommendation (including any minority views) regarding rank.

In the event that the recommendation of the Dean/Director differs from that of the FS&TR, he/she shall meet with the FS&TR to discuss and resolve the difference before making a recommendation to the Provost regarding a Letter of Intent to Employ. It is appropriate that a consensus be achieved at this time.

B. Reviews for Retention and Promotion

The first review following initial appointment shall occur no earlier than the fourth semester and no later than the sixth semester of the appointment. The purpose of this interim review is to assess the faculty member’s professional development within the context of the research and advisory service needs of VIMS and may result in a recommendation for improvement or against retention. A review for promotion following initial appointment may occur at the beginning of the fifth year of employment. With the concurrence of the Department Chair and the Dean/Director, the faculty member may request a review in advance of a scheduled review date.

On or about 15 January each year, the FS&TR shall identify the individuals subject to third year and promotion reviews during the coming academic year. The appropriate Department Chairs shall be notified prior to the annual faculty evaluation cycle. It is appropriate for Department Chairs to discuss the retention and promotion review processes and the expectations for tenure-ineligible faculty as part of the annual evaluation process. Faculty requiring retention decisions and those eligible for promotion review
shall be given written notification by the Dean/Director on or around 1 July of each year. The notices shall include a request for information pertinent to the review as stipulated in this document.

The faculty member to be reviewed (hereafter Candidate) shall, within 20 working days after notification of intent to review, submit to the Department Chair all materials that he/she deems appropriate (see list in III, B; other materials may be provided as deemed appropriate by the Candidate). It is the responsibility of each Candidate to respond to a request in accordance to the stipulated time-line; failure to do so may result in no action being taken by the Department or the Committee. It is important that a list of reviewers be delivered to the Department Chair with the review materials and also sent by the Candidate to the Committee at the same time. Reviewers should be from programs, institutions or agencies of a quality commensurate with the reputation and standards of the College of William and Mary.

The Department Chair will send a copy of the materials submitted for review by the Candidate, excluding the list of externals reviewers, to the faculty of the department. Faculty within the Candidate’s department will meet during the first week of September to discuss the merits of the Candidate, and all faculty of equal or higher rank will indicate by voting whether they support retention or promotion. Procedures to be followed in such meetings are the prerogative of each Department.

After the discussion, the Department Chair will summarize in writing the Department recommendation for the Candidate and FS&TR. If the majority of those faculty eligible to vote do not support retention or promotion, the Candidate will be notified by the Department Chair and have the option to withdraw his/her application. However, the Candidate may also request that his/her materials be reviewed by FS&TR in full knowledge of the Departmental discussion. All Candidates eligible for retention will be reviewed. The Department Chair is responsible for forwarding a letter stating the vote of the department to the FS&TR by the end of the first week of September.

Candidates being considered for retention and promotion will submit all requested materials to FS&TR by the end of the first week of September. Materials for promotion reviews will then be sent to external reviewers. The external reviewers will be asked to evaluate the candidate's effectiveness in the areas of research, service and education (as appropriate). At the same time, the FS&TR will make each Candidate’s CV, narrative and publications available to the VIMS Faculty and will seek their comments on the Candidate’s suitability for promotion and tenure.

The FS&TR shall review all materials received and develop a recommendation by majority vote. It shall then provide to each Candidate a draft copy of the evaluation and recommendation at least ten (10) working days before submission to the Dean/Director.

If the Candidate believes that the decision was based on inadequate consideration, he/she may within ten (10) working days of receipt of the draft evaluation and recommendation from the FS&TR, request in writing further review. He/she may submit such additional materials as may be appropriate, and comments solicited from additional peers. Upon the written request and submission of additional materials, the FS&TR shall undertake a review and within ten (10) working days notify the Candidate of the results. If the review action by the FS&TR does not satisfy the affected faculty member, he/she may make written request for an appearance before the committee and the Dean/Director. Within five (5) working days following the special meeting, the FS&TR shall deliver its final written recommendation (and any minority views) to the Candidate and Dean/Director. Both the committee’s vote and the date of that vote will be recorded.

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14 Provost Feiss’s memo to Deans, September 2006
15 the vote on retention or promotion of tenure-ineligible faculty is not limited to tenured faculty, as clarified by Provost Feiss and Dean Wells in telephone conversation with Carl Hershner February 25, 2009
The Dean/Director shall review the final written recommendation of the FS&TR and the recommendations from the Department Chair and departmental faculty. If a difference exists between reports, the FS&TR and the Dean/Director shall meet to discuss and attempt to resolve them. The Dean/Director shall then forward his/her written recommendation to the Provost of the College along with the FS&TR evaluation and recommendation document and other supporting documentation, including copies of the letters sent to external reviewers, a CV for each external reviewer and an explanation of how the reviewers were chosen.

Appeals of recommendations by the FS&TR or the Dean/Director are permitted on procedural grounds as described in the Faculty Handbook.

To comply with deadlines for faculty contracts and termination notices as set forth in the current Faculty Handbook, the final date by which all promotion reviews shall be completed and recommendations forwarded to the Dean/Director is the 15 December. Third year interim reviews will be completed by the end of the fourth week of March.

VII. Review of Faculty Appeals of Annual Performance Evaluations

Annual performance reviews of faculty members are an administrative matter involving the individual, the Department Chair, and the Dean/Director. In order to provide faculty members with a route of appeal within VIMS, the Bylaws stipulate that the FS&TR will “review faculty appeals of annual performance evaluations and provide findings and recommendations to the Dean/Director.”

In the event that a faculty member cannot resolve a dispute with the Dean/Director arising from an annual evaluation, he/she shall notify the Dean/Director in writing of his/her desire for an independent review by FS&TR. The Dean/Director shall, within five (5) working days, submit to the committee all documentation about the annual review and a statement of the basis for his/her position. The faculty member shall, simultaneously, submit materials that support his/her position in the dispute.

The FS&TR shall within ten (10) working days, assess the merit of the appeal. If appropriate, the committee may solicit additional materials that pertain to the issues of dispute. Based on a review, the FS&TR shall by majority vote, provide a report and recommendations to the faculty member and the Dean/Director. In the event that the Dean/Director does not concur with the evaluation, he/she shall meet with the FS&TR and the faculty member to discuss the issues. The committee shall then, by majority vote, produce a final report to be forwarded to the individual and the Dean/Director. The Dean/Director may use this report as the basis for a revision of the annual performance review. The report will become part of the permanent record of the faculty member.

VIII. Committee Records

The FS&TR Chair or his/her designee shall take minutes of all meetings of the committee. These minutes shall be presented at the succeeding meeting of the committee for approval or amendment, and the approved minutes shall become a permanent part of the records of the committee. The Chair of the Faculty Council and the Dean/Director shall receive copies of the approved minutes of FS&TR meetings.
The originals of all materials provided for review and all memoranda of recommendation to the Dean/Director shall be retained in the official records of VIMS/SMS under the custodial care of the Dean/Director.

Confidentiality: It is essential that records of all proceedings of the committee and all review materials shall remain confidential. Following the Virginia Freedom of Information Act, all written materials with respect to a particular faculty member shall be available to that faculty member. Copies of materials submitted for review may be distributed to a committee member during a review and shall be held in the strictest confidence. These duplicate materials shall be returned to the Committee Chair upon completion of the review and shall be destroyed (by shredding) immediately. Only the original review materials shall be retained as a record of committee action as stipulated above.

Record Storage and Retention: Minutes of all committee meetings and documentation about the cases evaluated shall be placed in the official records of the Institute under the custodial care of the Dean/Director. Records will be maintained in accordance with all federal and state regulations.