

VIMS POLICY AND PROCEDURE DOCUMENTS (PPDs)

VIMS operations are governed by both VIMS PPDs and [University policies](#). VIMS PPDs serve to establish policies and procedures unique to VIMS and/or to provide additional information and guidance regarding the application of University policies at VIMS.

Additional sources of information regarding the governing PPDs at VIMS include:

[Faculty Bylaws of the Virginia Institute of Marine Science](#)

[William & Mary Faculty Handbook](#)

[Professionals & Professional Faculty Handbook](#)

Dean and Director and General Administration

PPD-0001	VIMS Policy and Procedure Documents
PPD-0002	Organizational Structure
PPD-0003	Research Centers
PPD-0004	Parking
PPD-0005	Receipt and Acceptance of Summons
PPD-0006	Funding for Organizational and Individual Memberships, Professional Licenses, and Professional Certifications
PPD-0007	Drug Free Workplace
PPD-0008	External Employment
PPD-0009	Special Events
PPD-0010	Service and Consumption of Alcoholic Beverages
PPD-0011	Communication of Information, Advice, and Sworn Testimony by VIMS Personnel
PPD-0012	Absences from the Workplace
PPD-0013	Department Chairs: Selection, Responsibilities and Authority
PPD-0018	Disposal of Documents with Confidential Information
PPD-0019	Emergency Closing Policy
PPD-0021	Wireless Communications Policy and Procedures
PPD-0024	Allocation of Office, Laboratory, Work, and Storage Space
PPD-0025	Visiting Scientists
PPD-0026	Space Allocation for Non-VIMS Entities
PPD-0027	Office Space for Emeritus Faculty

Research and Advisory Services

PPD-0103	Alcohol for Use as a Research Chemical
PPD-0104	Scientific Misconduct
PPD-0106	Research Proposals
PPD-0107	Project Management

- PPD-0108 Authorship Credit on Publications
- PPD-0109 Author's Address on Publications and Similar Documents Relating to the Virginia Institute of Marine Science
- PPD-0110 Research Activities on the VIMS Pier, Beach, or Immediately Offshore of Campus
- PPD-0111 VIMS Nunnally Ichthyology Collection Policies and Procedures
- PPD-0112 Freedom of Information Act

Finance

- PPD-0201 Insurance
- PPD-0202 External Billings
- PPD-0203 Signature Authority and Delegation on Personnel and Travel Forms
- PPD-0204 Gift and Grant Award Notification and Monitoring Procedures
- PPD-0205 Surplus Materials
- PPD-0206 Purchasing
- PPD-0207 Business Related Checks to VIMS
- PPD-0208 Shipping/Receiving of Hazardous Materials, Dangerous Goods, and Biological Specimens
- PPD-0214 Shipping/Receiving and U.S. Postal Service
- PPD-0217 Travel Pre-Approvals and Expense Reports
- PPD-0220 Sponsored Programs – Fixed Price Grants and Contracts
- PPD-0221 Sponsored Programs – Facilities and Administrative Cost Rate Reduction/Waiver Policy
- PPD-0223 Sponsored Programs – Accounting for Allowable and Unallowable Direct Costs
- PPD-0224 Sponsored Programs – Effort Reporting

Information Technology and Networking Services

- PPD-0303 Use of "vims-business" and "vims-misc" Group Email
- PPD-0350 Information Technology Security Program at VIMS
- PPD-0357 Data Classification, Risk Assessment, Business Impact Analysis, Continuity of Operations, and Disaster Recovery
- PPD-0374 Approval for Establishment of Accounts and Use of Technology Resources
- PPD-0375 Account Password Policies and Procedures
- PPD-0381 Physical Safeguards for Information Technology Assets
- PPD-0383 Information Technology Security Training Program
- PPD-0384 Acceptable Use Policy for faculty, Staff, and Guest Users
- PPD-0387 Information Technology Security System Monitoring
- PPD-0388 Security Incident Reporting Procedures
- PPD-0389 Information Technology Project Management

Facilities Management

- PPD-0401 Sport Fishing from Institute Piers and Docks
- PPD-0402 Maintenance Problems
- PPD-0404 Collisions and Incidents Involving State-Owned Vehicles
- PPD-0405 Pets on Campus

PPD-0406 Security on Campus
PPD-0408 Purchasing or Leasing Motor Vehicles
PPD-0409 Motor Vehicle Use

Safety, Environmental Programs, Emergency Procedures

PPD-0500 Hazard Communication Standard Program/Chemical Waste Management
PPD-0501 Chemical Hygiene Plan
PPD-0502 Hazardous Materials Emergency Response and Security Plans
PPD-0503 Fire Prevention Plan
PPD-0504 Occupational Safety and Health Plan
PPD-0505 Respiratory Protection Plan
PPD-0506 Radiation Safety Plan
PPD-0509 Workers' Compensation Claims Program
PPD-0510 Severe Storm Preparedness / Response Information
PPD-0512 Safety of Visitors
PPD-0513 Teenagers in Laboratories

Associate Dean of Academic Studies

PPD-0602 Personnel Procedures for Graduate Assistants
PPD-0603 Limits on Workshop Hours
PPD-0604 Graduate Student Assistantships
PPD-0605 Leave Policies for Students
PPD-0606 Technology Classroom Reservation Procedure
PPD-0607 Use of Tuition Waivers and Stipend Rates for Fellowship Proposals
PPD-0608 Visiting Students

Library

PPD-0701 Borrowing Library Materials
PPD-0702 Contribution Numbers
PPD-0703 Author Instructions
PPD-0704 VIMS' Report Series and Digital Repository

Office of Advancement

PPD-0801 Volunteers
PPD-0802 Mentorship of High School Students

Marine Operations

PPD-0901	Marine Operations Policies and Procedures Manuel
PPD-0902	Denial of Permission to Operate Vessels
PPD-0903	Purchasing or Leasing Vessels
PPD-0904	Working with External Vessel Users, Contracting Process
PPD-0905	Manual for Scientific Diving Safety

Human Resources

PPD-1001	Flex Time
PPD-1002	Time & Effort Reporting
PPD-1003	Work Week
PPD-1004	Overtime Leave
PPD-1005	Telecommuting
PPD-1015	Check-in Procedure
PPD-1016	Clearance (Check-out) Procedure

News and Media

PPD-1101	Business Cards
PPD-1102	Media Relations
PPD-1103	Media Products for non-Science Audiences
PPD-1104	VIMS Visual Identity System
PPD-1105	Permissions Policy for Use of VIMS Graphic Images, Web Links, etc.
PPD-1106	Identification of VIMS on Distributed Materials

Faculty

PPD-1302	Appointment of Non-Tenure Eligible (NTE) Faculty, Adjunct Faculty, Research Scientists and Postdoctoral Research Associates
PPD-1303	Procedures for Annual Merit Evaluation of Faculty
PPD-1304	SMS/VIMS Activities and Criteria for Annual Merit Evaluation of Faculty
PPD-1305	Appointment of Named Professorships
PPD-1306	Faculty Leaves of Absence for Academic and Non-Academic Leave and Absences for Research and Other Scholarly-Related Activities
PPD-1307	Faculty Clearance/Sign Out
PPD-1308	Procedures and Criteria for Appointment, Evaluation, Retention, Promotion and Award of Tenure
PPD-1309	Affiliated Scholar Appointments
PPD-1310	Procedures for Faculty Profile Expectations
PPD-1311	Junior Faculty Mentoring Program
PPD-1312	Faculty Retirement and Post-retirement Activities

**Policy and Procedure Document
Virginia Institute of Marine Science
William & Mary**



Number: PPD - 0001
Subject: VIMS Policy and Procedure Documents

Policy and Procedure Documents (PPDs) are the documents by which official policies, procedures, and related information are published and distributed to the employees of the Virginia Institute of Marine Science (VIMS). Although recommendations for modifying existing PPDs or establishing new PPDs can come from any source, all Policy and Procedure Documents are issued by VIMS Dean and Director. 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 VIMS 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 VIMS is committed to ensure that the policies and procedures are in accordance with state law and with the policies and procedures of William & Mary (W&M).

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 W&M or the Commonwealth of Virginia. Unless otherwise specified, instructions are effective at the time of issue.

When an individual initially reports to work at VIMS, 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 VIMS 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

**Policy and Procedure Document
Virginia Institute of Marine Science
William & Mary**



Number: PPD - 0002
Subject: Organizational Structure

The Virginia Institute of Marine Science (VIMS) is a component of William & Mary (W&M) and includes the School of Marine Science (SMS) which is a graduate school of the College.

The Director of VIMS 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 the W&M Board of Visitors.

The following two links show 1) the organizational structure of VIMS as it relates to [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 VIMS, are considered part of the York River Campus.

Date: July 1, 2009
Rev.: Sept. 17, 2009
Rev.: May 7, 2010

Number: PPD - 0003
Subject: Research Centers

Research Centers (“Centers”) are organizational areas within the Virginia Institute of Marine Science (VIMS) 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 is 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.

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 VIMS’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 Associate Dean 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 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
- Marine Advisory Program

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

Date: May 1, 2010

Number: PPD - 0004
Subject: Parking

The regulations concerning parking at the Gloucester Point Campus of the Virginia Institute of Marine Science (VIMS) generally are those specified by [Parking Services of William & Mary](#) and are distributed yearly with parking permits.

Additionally, the Dean and Director of VIMS 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 to request parking passes.
- B: If the meeting will involve more than ten visitors, the person hosting or organizing the meeting should 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. The host or organizer will ensure that the VIMS telephone console attendant is included in this communication.

Regulations concerning parking at the Eastern Shore Campus of VIMS are at the discretion of the Dean and Director who will seek recommendations from the Director of 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

**Policy and Procedure Document
Virginia Institute of Marine Science
William & Mary**



Number: PPD - 0005
Subject: Receipt and Acceptance of Summons

Periodically faculty, staff, and students at the Virginia Institute of Marine Science (VIMS) are subpoenaed to testify in judicial matters relative to their fields of expertise. Usually the officer serving the summons delivers them to VIMS'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 Associate Dean 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 VIMS. In the event that the intent is to obtain the official position of VIMS, the person being summoned to testify must receive specific authorization from the Associate Dean of Research and Advisory Services and Dean and Director to present VIMS'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 VIMS, for example notices of suits against VIMS or orders to cease and desist some specific activity.

Date: July 1, 2009
Rev.: May 7, 2010

**Policy and Procedure Document
Virginia Institute of Marine Science
William & Mary**



Number: PPD - 0006
Subject: Funding for Organizational and Individual Memberships, Professional Licenses,
and Professional Certifications

The Virginia Institute of Marine Science (VIMS) will not provide payment from educational and general funds (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, VIMS may provide funding for organizational memberships in various organizations.

Date: July 1, 2009
Rev.: May 6, 2010

**Policy and Procedure Document
Virginia Institute of Marine Science
William & Mary**



Number: PPD - 0007
Subject: Drug Free Workplace

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 William & Mary'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 university'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 W&M'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

Number: PPD - 0008
Subject: External Employment

The Virginia Institute of Marine Science (VIMS) has a long-standing policy that prohibits outside marine-related employment within the Commonwealth of Virginia. It should be noted that VIMS 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 VIMS' 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. Review of the [procedure](#) is necessary prior to submitting an [External Paid Employment](#) form.

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 VIMS and will not subject the individual to potential accusations of conflict of interest.

Finally, although VIMS and W&M 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 [Associate Dean of Research and Advisory Services](#) of such activity, see Policy and Procedure Document 0011. The reason for providing this information is to assure that VIMS 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 VIMS. 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 VIMS or W&M. 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

Rev.: March 2021

VIRGINIA INSTITUTE OF MARINE SCIENCE

CLASSIFIED AND UNIVERSITY EMPLOYEE OUTSIDE EMPLOYMENT APPROVAL

I understand that authorization is required for any employment beyond my regular duties at William & Mary’s Virginia Institute of Marine Science (VIMS). 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 VIMS. 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](#).

(Signature) (Date) Employee

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.

(Signature) (Date) Supervisor

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

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

Number: PPD - 0009
Subject: Special Events

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 (VIMS) 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 William & Mary (W&M). 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 W&M'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 W&M'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 W&M's endorsement of the organization or sponsorship of the program, except when VIMS authorizes such publicity through the appropriate administrative channels.

VIMS events – events charged to an internal index – should be reserved through the [Events Management reservation system](#) as early as possible, and more than 2 weeks prior to the event, to allow approval of setup requests. 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).

Individuals planning to host a non-VIMS events – events not charged to an internal index- must contact the Advancement Office at 804-684-7061 for approval and, if approved, to set up billing for the responsible group. If alcohol will be served, the individual convening the event is responsible for obtaining an ABC license.

Room charges will be waived for **non-profit fund raisers** if all the following conditions are met:

1. Sponsored and attended by VIMS personnel only.
2. Only advertised internally.
3. Organization is non-political, non-religious.
4. Room must be left in same condition as found.
5. Reservations for events promoting VIMS' mission take priority, and may bump space for

other non-profits, if needed. Setups will *not* be waived. Reservations must be made for a room with furniture in place, or charges will apply. Tables may not be brought in or moved, due to possible damage to doorways and flooring.

Room charges will be waived for **social clubs** if all the following conditions are met:

1. Sponsored and attended by VIMS personnel only.
2. No alcohol.
3. No outside attendees.
4. Room must be left in same condition as found.
5. If after hours or on weekends, host must wait for security to lock building before departing
6. Reservations for events promoting VIMS' mission take priority, and may bump space for social clubs, if needed. Setups will *not* be waived. Reservations must be made for a room with furniture in place, or charges will apply. Tables may not be brought in or moved, due to possible damage to doorways and flooring.

The Dean and Director has the final approval on the use of VIMS's facilities for any special event. All W&M and State regulations concerning alcoholic beverages (See Policy and Procedure Document-0010) be followed.

The use of facilities at VIMS shall be in accordance with all applicable laws, including the standards of conduct of W&M. 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 W&M 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
Rev.: Feb. 6, 2015

Number: PPD - 0010
Subject: Service and Consumption of Alcoholic Beverages at VIMS

William & Mary's 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 University. 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 W&M 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 bar tenders / servers must have attended a Party Management Seminar (TIPS training) prior to signing for the event. Information regarding 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. VIMS 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 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 W&M 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 Alcohol Beverage Control Board (ABC) [Banquet/Special Event License](#) from 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 ABC Board.

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 [Events Management System](#).

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 W&M, VIMS, for 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 W&M.

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

Rev.: July 2015

Number: PPD - 0011
Subject: Communication of Information, Advice, and Sworn Testimony by VIMS
Personnel

The Virginia Institute of Marine Science (VIMS) 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 Associate Dean of Research and Advisory Services, the Associate Dean of Academic Studies, and the Director of News and Media Services generally are authorized to “speak for VIMS.” Anyone who anticipates being in a situation where she or he is apt to be called upon to present VIMS position on a topic, must communicate with the Dean and Director, Associate Dean of Research and Advisory Services, or the Associate Dean of Academic 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 Associate Dean of Research and Advisory Services well in advance of the presentation. Presentations or testimony before the General Assembly of Virginia can have significant implications to VIMS’s programs and budget and must be cleared by the Dean and Director or Associate Dean of Research and Advisory Services. Any communications relating to legal, regulatory, policy, or potentially political issues are part of VIMS’s mandated state services and must be coordinated with the Associate Dean of 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
Rev.: July 22, 2015

**Policy and Procedure Document
Virginia Institute of Marine Science
William & Mary**



Number: PPD - 0012
Subject: Absences from the Workplace

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 [VIMS Senior HR Client Partner](#) can provide information concerning the proper forms and procedures for reporting and requesting leave.

Date: July 1, 2009

Rev.: March, 9, 2021 Note: [Revision to remote work policy due to COVID](#)

Number: PPD - 0013
Subject: Department Chairs: Selection, Responsibilities and Authority

Overview

Department chairs are expected to provide leadership, guidance and vision within their departments, and advice to the Dean and Director regarding planning, policy and procedure at the Virginia Institute of Marine Science (VIMS). Chairs are tasked with allocating departmental resources and ensuring fiscal responsibility, assigning teaching and advisory services duties (in collaboration with the Associate Dean of Academic Studies (ADAS) and the Associate Dean for Research and Advisory Services (ADRAS)), mentoring new faculty in the department and, promoting a collective sense of purpose among departmental faculty, staff and students.

Eligibility, Term of Service, and Evaluation Process

1. Only tenured members of the Teaching and Research (T&R) faculty are eligible to serve as Department Chairs.
2. Appointments are made by the Dean and Director (D/D) following recommendations (based on vote) from departmental faculty. Terms will typically begin on July 1 and end on June 30.
3. Terms are typically for three years, and can be renewed upon recommendation of the departmental faculty and approval of the D/D.
4. Department Chairs are reviewed annually by the D/D in consultation with departmental faculty, the ADAS, and the ADRAS.

Removal from Office During Elected Term

The Department Chair may be removed from service by the D/D as a result of a negative performance review.

Stipend for Service as Department Chair

Each Department Chair will receive an annual stipend during his/her term of service (currently established at \$6,000/year).

Duties and Authorities of the Department Chair

1. Department Chairs will provide advice to the D/D, and assist in formulating and implementing policy and in overall governance of VIMS. They will play a proactive role in bringing issues to the D/D that need attention at the upper administrative level.

2. Department Chairs will set, by example, standards for effective pursuit of VIMS' tripartite mission. They will provide leadership, guidance and vision within their departments, and promote a collective sense of purpose among faculty, staff and students.
3. In coordination with the ADAS, Department Chairs are responsible for implementation of the graduate education program at VIMS. They will assign teaching duties to their faculty and ensure that core courses and upper level courses are properly staffed and equitably distributed among faculty.
4. In coordination with the ADRAS, Department Chairs are responsible for implementation of VIMS' research programs and advisory functions. They will ensure that faculty who are called upon to provide advisory services do so in a timely fashion.
5. Department Chairs are responsible for management of the financial and physical resources within the department. They will see that budgets are balanced and will establish and administer a departmental contingency fund.
6. Department Chairs will provide effective communication within their departments, convening faculty meetings on a schedule that meets departmental needs. They will give priority to administrative matters as they arise, and seek the advice of other chairs when appropriate.
7. Department Chairs are responsible for conducting faculty annual evaluations. They will serve as mentors to junior faculty and assist in professional development of all departmental faculty. They will play a de facto role in human resources issues that arise within the department.
8. Departmental Chairs will perform other duties, such as preparing status and oversight reports, as assigned periodically by the D/D.

Revised January, 2005

Updated, March, 2016

Updated by the Dean and Director December 16, 2020

Number: PPD - 0018
Subject: Disposal of Documents with Confidential Information

Records Containing Confidential Information

Employees who work with confidential information at the Virginia Institute of Marine Science (VIMS) have an obligation to ensure the security of any such information 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. When faxing documents that contain confidential information, first confirm the fax number is correct and second, confirm that the recipient will be immediately available to retrieve the documents sent. Confidential information should not be left on an unattended fax machine.
3. After faxing or making copies, check to be sure the original document has not been left behind.
4. Do not leave doors to offices unlocked or files containing confidential information unattended.
5. Do not share passwords used to access email, databases, websites, and other electronic resources.
6. Logout or lock terminals (Ctrl, Alt, Del.) to protect information when away from the computer.
7. Documents that contain confidential information can be stored, and shared through the William & Mary (W&M) secured file system [BOX](#) using your W&M login.

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](#).

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 W&M [Archivist](#) before records can be destroyed. It is critical that offices not destroy records before the W&M 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 the Dean and Director’s Office or the W&M Archivist for assistance in preparing records and the proper forms before destruction is carried out.

Confidential Trash

VIMS 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 [W&M Archivist](#) for answers to questions regarding the management or destruction of Institute records.

Date: July 1, 2009

Rev.: Jan. 9, 2019

Rev.: March 24, 2020

Number: PPD - 0019
Subject: Emergency Closing Policy

I. SCOPE

This policy applies to the Virginia Institute of Marine Science (VIMS) and to all of its employees (faculty, staff, and students) including agents of VIMS. It defines the policy and procedures related to closing of VIMS or a portion of VIMS in the event of an emergency.

II. PURPOSE

VIMS seeks to ensure the safety of its students, faculty, staff, and visitors, safeguard its academic programs, preserve its academic research and protect its facilities in the event of an emergency. This policy defines the process for closing all or part VIMS as well as expectations for VIMS employees and students. It establishes requirements to maintain operational continuity and recovery when a change in operating status is necessary. It also establishes the policy and procedures for compensating employees for absences from work during an emergency closing, in compliance with Virginia Department of Human Resources Management Policy 1.35.

III. DEFINITIONS

- A. **Authorized Closing** - The period of time VIMS operations are officially closed and non-essential employees are not required to work. Such closings may be authorized for an entire workday or a part of a workday.
- B. **Delayed opening/early closing**: The modification of normal operating hours for non-essential employees.
- C. **Emergency Management Team**: The Emergency Management Team (EMT) is responsible for overall coordination of the Institute's emergency preparedness efforts that plan for, guide, respond to, and recover from a crisis.
- D. **Essential Employees** – An employee whose assigned job duties and responsibilities are considered critical to maintaining the essential operations of VIMS when changes in operating status occur due to an emergency event. Employees designated as essential are needed to meet the immediate needs of repair and restoration, student care, academic programs, research programs, and/or general operations.
 - a. The Dean and Director, Associate Dean for Research and Advisory Services, Associate Dean of Academic Studies, Chief Operations Officer, Chief Financial Officer, and the Executive Director of Facilities Management are considered to be essential employees.

- b. Department Chairs and Center Directors may designate employees in their units that attend to live animals as essential employees.
 - c. All positions within the Facilities Management Department at VIMS are designated as essential employees. All Facilities Management personnel are expected to report to work when VIMS is officially closed for emergencies unless otherwise authorized by their supervisor.
 - d. The Dean and Director may designate other employees as essential on an as needed basis.
- E. **Emergency Event:** Any event, natural or man-made, with the potential to create unsafe conditions, cause injuries or deaths, disrupt operations, cause physical or environmental damage, that would require VIMS to close. Examples include but are not limited to: severe weather, radiological event, hazardous spill, civil disturbance or public health threat.
- F. **Essential VIMS Operations:** Those operations defined in VIMS's emergency response plan as essential for the response to, the recovery from or the continuation of critical operations in an emergency event.
- G. **Evacuation:** The decision to close the academic, and administrative facilities and restrict access to buildings at VIMS.
- H. **Grace Period:** A maximum of up to two hours past the start of the normal or altered scheduled work day to report to work.
- I. **Non-Essential Employees** - An employee whose assigned job duties and responsibilities are not critical to maintaining the essential services of VIMS when normal operations are disrupted as a result of an emergency event.
- J. **Non-Exempt Employee:** An employee covered by the Fair Labor Standards Act (FLSA) who is entitled to overtime pay for hours worked over 40 during a work week. Exempt or non-exempt status is documented in an employee's position description.

IV. **ESSENTIAL EMPLOYEES -**

Essential operational and professional employees will be credited with administrative leave for the total number of work hours VIMS was closed in accordance with their work schedule. The amount of administrative leave will depend on employee's work schedule.

Non-exempt employees required to work during an emergency closing will receive additional compensation for each hour worked during the closing. Non-exempt employees will be compensated with either leave or pay in accordance with their overtime election designation on file with Human Resources. As required by the FLSA, non-exempt employees are eligible for overtime pay or leave if total hours worked in the

work week exceed 40 hours. Administrative leave and all other leave hours are not included in the calculation for hours worked.

Exempt employees will receive compensation in the form of compensatory leave for those hours worked during authorized closures.

Employees designated as essential who do not report to work and are not on pre-approved leave are not eligible for administrative leave and must submit appropriate leave for the entire closing.

Employees on pre-approved leave with pay for the authorized closing will not have the time charged to their personal leave balances.

V. NON-ESSENTIAL EMPLOYEES:

Non-essential operational and professional employees will be granted administrative leave for the total number of work hours VIMS was closed in accordance with their work schedule. The amount of administrative leave will depend on the employee's work schedule. Non-essential hourly employees do not receive administrative leave and are not compensated for hours they have not worked.

Non-exempt employees must work and/or be in a paid leave status on the last workday before and the first workday after an emergency closing to be eligible for the administrative leave. Employees on pre-approved leave with pay for the authorized closing will not have the time charged to their personal leave balances.

Non-essential employees whose scheduled day off falls on a day when their work area is closed will not be credited with administrative leave.

VI. REPORTING TO WORK

1. ESSENTIAL EMPLOYEES

Essential employees are expected to report to work according to their regular work schedule during an emergency event. Essential employees who fail to report to work will be charged with leave for the hours missed during the closing.

If an essential employee is unable to report to work at the scheduled time, the employee must contact his/her supervisor immediately to provide an explanation. The employee's supervisor may offer the employee other options such as providing transportation or allowing the employee to take leave.

2. NON-ESSENTIAL EMPLOYEES

Non-essential employees are encouraged, and under certain conditions may be required, to stay away from campus when VIMS is closed. This allows VIMS to respond to and recover from an emergency event in a safe and efficient manner. Non-essential employees should report to work during an authorized closing if they are requested to do so by their supervisor.

Non-essential employees may be directed to return to work if the specific needs of their departments require them to do so to maintain essential operations and/or to respond and restore normal Institute operations. It will be the supervisor's responsibility to determine if additional employees are required during this time. In such cases, supervisors may request that non-essential employees report to work at the start of their regular work schedule or at a specified time. A non-essential employee may also be requested to work at home or at an alternate work location during a closing, especially if the closing is of significant duration.

Requiring an employee to work at home or at an alternate work location will not change their non-essential status to essential; if this situation occurs during an authorized closing, the employee will receive compensation in addition to the administrative leave granted for these closures.

Non-essential employees must report to work when requested to do so by their supervisors. A non-essential employee who cannot report to his/her regular work location or alternate work location or who cannot work at home when requested by the supervisor, must contact the supervisor immediately to provide an explanation.

Essential and/or non-essential employees who fail to report, fail to contact their supervisor, or fail to respond to a supervisor's request may be subject to disciplinary action.

VII. CLOSING DECISIONS

Decisions to close VIMS facilities to the general public and/or students, staff, and faculty will be made by the Dean and Director or, in his absence, the Chief Operations Officer. 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.

VIMS will strive to remain open. If, however, conditions are such that maintaining a substantial level of academic and research activity is impossible or dangerous, the Institute will be closed. Such announcements will cancel all classes and work obligations for everyone except those employees identified as essential. Faculty, staff and students should monitor VIMS's Home Page and local media for closing and re-opening information.

For a weather event, the Chief Operations Officer (COO) will contact the Dean and Director, or his designee, regarding the weather conditions at the Gloucester Point campus the evening prior or no later than approximately 5:00 a.m. on any day in question. The Dean and Director will render at that time a decision on closure or delayed opening. The COO will then contact the Director of News and Media (DNM) - within 15 minutes of the decision rendered by the Dean, providing instructions regarding VIMS opening. The COO will be responsible for communicating decisions on closings to the VIMS community. The DNM will be responsible for communicating decisions on closings to the television and radio stations.

Unit heads should determine essential services and personnel based on their respective operations to ensure that those essential services are maintained during an emergency event.

VIII. EVACUATION

If the emergency event is predicted to be of major significance and duration, the Institute may, in addition to ceasing normal operations, require the evacuation of campus. This will result in the closing and securing of all buildings on campus. Faculty, staff and students other than those essential to the response to and recovery from the event will be required to remain off campus.

IX. NOTIFICATION OF CLOSING

The decision to close VIMS in full or in part or to evacuate will be announced as soon as practicable using available data.

VIMS will announce closings, late openings and evacuations using a variety of internal and external media including the RAVE alert system, VIMS's website, Facebook, Twitter and local public media outlets. Employees may also call VIMS's closings and delays information telephone line 804-684-7000 to obtain the latest information. Dependent upon the emergency event, messages are updated as necessary.

At VIMS, the responsibility of notification to the campus community has been delegated to the Chief Operations Officer. Employees should ensure that their contact information in Banner is current.

X. INDIVIDUAL AWARENESS AND TRANSPORTATION DIFFICULTIES

For employees who encounter extreme transportation difficulties under emergency conditions, supervisors may allow a maximum of up to two hours past the start of a normal or delayed opening to report to work. This grace period will be considered lost time and need not be applied to leave balances, nor should the employees otherwise experience loss of pay, if in the judgment of the supervisor such lost time was justifiable in view of weather or other conditions, the employee will receive administrative leave for the hours the Institute is closed.

XI. AUTHORITY AND APPROVAL

This policy has been approved by the Dean and Director of VIMS.

XII. RELATED POLICIES OR OTHER DOCUMENTS

- [VIMS Emergency Operations Plan](#)
- [VIMS Continuity of Operations Plan](#)
- Individual Position Descriptions

[Compensatory Leave Policy \(DHRM Policy 3.10\)](#)

Date: July 1, 2009
Rev.: Feb. 15, 2010
Rev.: May 6, 2010
Rev.: Dec. 10, 2010
Rev.: Dec. 3, 2013
Rev.: Dec. 3, 2014
Rev.: March 11, 2021

Number: PPD - 0021
Subject: Wireless Communications Policy and Procedures

I. Scope

This policy applies to all employees of William & Mary (W&M), including the Virginia Institute of Marine Science (VIMS), which includes all faculty and staff, full- or part-time.

II. Purpose

W&M recognizes that certain employees, due to the nature of their jobs and/or the location in which they work, may require wireless communications devices in order to adequately conduct official business. Further, W&M recognizes the need to be able to contact and/or communicate outside of business hours with certain employees who possess essential knowledge, decision-making ability and/or whose expertise is critical for the on-going operation of W&M. This policy establishes the rules and procedures for compensating employees for wireless devices or providing them with such devices.

III. Definitions

Wireless Service Plan: Any service plan used to make or receive wireless voice, text or data communications on a cellular telephone network.

Wireless Communications Device: An electronic device used to communicate information wirelessly. Mobile communication devices relevant to this policy include, but are not limited, to the following devices: cellular telephone, smartphone, tablets, mobile cellular internet connectivity device, and mobile internet device. For purposes of this policy, a mobile internet device is defined as a large format smartphone or a tablet computer. Laptops, notebooks, and netbooks are NOT included in this definition or addressed by this policy. A mobile internet device may or may not have cellular telephony capability.

Mobile Cellular Internet Connectivity Device: An electronic device that allows internet connectivity for a mobile computing device such as a laptop. Connectivity is provided through a cellular network provided by a mobile network operator. They may also be referred to as an “internet stick”.

De Minimis: So small or minimal in value and/or the frequency as to make accounting for it unreasonable or impractical.

IV. Policy

W&M’s preferred business approach is to provide employees who are required to have a wireless communications device as part of their job responsibilities with a W&M compensation stipend based on the level of required business use. Academic or

administrative departments requesting employee stipends for this purpose must demonstrate a bona fide business need and receive approval from the appropriate executive employee (typically, a Vice President, Dean, Senior Vice President, or the Provost). ***Simple convenience is not a criterion for granting a wireless communication device/stipend.*** Criteria for employee stipends include:

- The employee’s job requires them to work regularly in the field and to be immediately accessible.
- The employee has administrative responsibilities related to critical business functions or support of the university’s infrastructure and needs to be immediately accessible at all times.
- The employee travels on W&M business and needs to be accessible or have access to information technology systems while traveling.
- Access via voice and/or access to information technology systems via a wireless communications device would, in the judgment of the supervisor, render the employee more productive and/or the service the employee provides more effective, and the cost of mobile communications service is therefore warranted.

The amount of the stipend will vary depending on the business need, as provided in Section V, below.

When necessary for substantial business reasons, W&M may issue a W&M-owned wireless communications device to an employee instead of providing a stipend. The W&M-owned phone may be provided as a “duty” phone that is to be shared amongst a group of employees or may be assigned to an individual for business use. The business use of a university-owned device will be treated as a working condition fringe benefit¹¹ and any reasonable personal use will be treated as a *de minimis* fringe benefit. The associated department’s management must review the bills on a monthly basis to note any significant variances in charges. [See Procedures for Authorized University-Owned Devices under Section V.](#)

This policy assumes that for most employees, the device will be used for both business and personal use and it is therefore appropriate for W&M and employee to share the overall cost. The amount of the allowance is not intended to cover the full cost of the employee’s monthly service plan.

V. Procedures

A. Employee-owned Wireless Communication Devices with W&M Stipend

1. Department Authorization and Approvals

a. Authorization Based on Employee Job Duties; Stipend Amount –

Departments are responsible for determining whether or not an employee's job requires the use of a wireless communications device, applying the criteria established in Section IV above, and availability of departmental funds. A stipend for an employee-owned device is based on the employee’s actual job duties, not a particular title or position. Department heads are responsible for determining when wireless communications devices are warranted and what stipend level should be provided.

The following chart should be used in determining the appropriate stipend amount:

Required Business Use	Monthly Stipend	Taxable
Low – Data not necessary, only voice/text required. The job requires the employee be <i>occasionally</i> accessible outside of normal work hours.	\$15	No
Medium – Up to 4GB data use required with both voice and text. Employees are expected to monitor and administer mission critical information systems or other W&M resources during non-business hours.	\$30	No
High – Greater than 4GB data use required with both voice and text. More than 60% of work is conducted away from the employee’s work station and the employee is <i>required</i> to be contacted on a regular basis when away from their work station OR the job requires the employee to be <i>regularly</i> accessible to receive and/or respond <i>frequently</i> to business communications outside of working hours.	\$45	No

b. Stipend Approval – Supervisors must review stipend levels for all employees receiving a stipend for an employee-owned wireless communication device prior to July 1, 2017. Stipend levels provided on or after July 1, 2017 must conform to this policy and the following procedures. All new and continuing stipends must initially be approved by the supervisor, department head, and responsible executive employee. Subsequent reviews and approvals are outlined below. See [Wireless Communication Device Stipend Request Form](#). Completed forms must be submitted to Human Resources. In accordance with federal regulations, once the stipend level is approved, supervisors may request a copy of their wireless communications plan contract or invoice to ensure that the stipend does not exceed actual costs for verifying no tax withholdings are necessary.

c. Annual Review of Departmental Needs – It is the department head's responsibility to review wireless communication needs in his/her department on at least an annual basis to determine if any monthly stipend provided to an employee should be changed or discontinued, considering the employee’s business needs are, the device/service plan requirements necessary to meet this need, and the approved stipend amount. The following chart indicates the approval(s) required to adjust a stipend:

Stipend Action	Department Head	Executive Employee
Initial Stipend Approval	X	X
Cancel Stipend	X	

Decrease Stipend	X	
Increase Stipend	X	X

The department must either:

- (i) affirm that no changes are needed to existing stipends
- (ii) if a new stipend is to be approved or an existing stipend modified, complete and submit to Human Resources a new or revised Stipend Request Form, or
- (iii) if a stipend is to be canceled or discontinued, notify Human Resources as provided in (d) below.

d) Discontinuation of Stipend. A department head may discontinue a stipend at any time. The department should notify Human Resources immediately if a stipend is to be discontinued. Notification can be made by modifying the End Date on a copy of the original Stipend Request Form and submitting the modified form to Human Resources specifying that additional pay should be discontinued.

e) Costs above Stipend Levels. International Use. In some instances, international business requires incremental cellular service costs that may be reimbursed through the Travel Office with appropriate documentation. If business use results in a billed amount that is more than the nontaxable stipend amount, reimbursement may be sought with appropriate documentation through regular expense reimbursement procedures. If increased business use will continue, the monthly nontaxable stipend can be revised by submitting an updated form to Human Resources specifying that the monthly nontaxable stipend should be increased and the effective date of the increases. Increases will not be considered retroactively.

2. Documentation/Audit Requirements. For employee-owned devices, current copies of the approval forms/agreements must be on file at all times with the Office of Human Resources. The Office of Human Resources shall retain such records for a period of five year for internal or external audit purposes.

3. University Control of Compensation. Stipends or other university compensation for wireless communications devices or plan is not considered an entitlement, is not part of an employee's base salary, and may be changed and/or withdrawn by W&M at any time.

4. Employee Responsibilities

a. Select and Purchase Device/Plan. The employee is responsible for the selection and purchase of a device and enrollment in an appropriate wireless service plan. The plan must, at a minimum, cover the requirements identified and approved by the department head. The employee may select service from any vendor whose service meets the requirements of the employee's job responsibilities as determined by the department head. Insurance or accessories not required by the Agreement are the responsibility of the employee as the employee owns the device. The employee may obtain a more expensive plan if desired for personal use, but will only receive the stipend amount agreed upon for University business use. Payment of bills for the service plan and device are the responsibility of the individual, not the department.

In addition, W&M will not provide direct payments to a vendor for the purchase of equipment or monthly service charges for the equipment covered under these

procedures. Additionally, W&M will not enter into contracts with vendors for employee use of these devices or services on behalf of employees; W&M-owned devices are addressed in section V.B, below. Failure to notify W&M when a device is disconnected or a plan is terminated may be considered fraud and constitute grounds for disciplinary action and repayment of excess funds to W&M.

b. Provide Department with Phone Number. Any employee receiving a stipend must provide his/her department with the device phone number or other identification number (if the device does not have telephony capabilities) within five (5) working days of activation or the stipend will be discontinued.

c. Provide Bill for Verification of Usage. The employee must be able to show, when requested by their department head or W&M administration, that the monthly bill for his or her wireless device usage, including taxes and fees, is at least the amount of the stipend being received. If the monthly bill does not, on average, equal or exceed the stipend amount, the department head may decrease the stipend to a lower amount or discontinue the stipend.

5. Fees for Contract Changes or Cancellation

a. Employee-initiated Change or Cancellation. If, prior to the end of the service contract, a personal decision by the employee, or employee misconduct, or misuse of the device, results in the need to end or change the service contract, the employee will bear the cost of any fees associated with that change or cancellation.

b. W&M-initiated Change or Cancellation. If, prior to the end of the service contract period, a W&M decision (unrelated to employee misconduct) results in the need to end or change the service contract, W&M will bear the cost of any fees associated with that change or cancellation. If, for example, the employee's supervisor has changed the employee's duties and the device is no longer needed for W&M purposes and the employee does not want to retain the current contract, change or cancellation fees will be reimbursed by W&M.

6. Security Standards. All W&M departments and employees are responsible for protecting university information no matter where it is stored. Employees accessing W&M information on mobile devices must comply with W&M data protection and security policies; see Section VI below.

7. Privacy Rights. Employee-owned wireless communication devices may be connected to W&M servers, therefore, information passed through W&M systems, servers, etc. is considered W&M information and subject to the Virginia Freedom of Information Act (FOIA), W&M records retention requirements, and other policies and procedures. Employees who use their personal cell phones, computers, tablets, and other electronic devices to communicate on W&M business should be advised that such communications may be subject to the FOIA and other policies.

8. See Virginia Department of Human Resource Management, Policy 1.75.

B. University-Owned Devices

W&M's policy and preferred business practice is to provide a monthly stipend to employees who are required to have a wireless communications device for business purposes. In limited instances, an academic or administrative department may have a business need or find it more cost-effective to purchase a limited number of W&M-owned wireless communications

device and issue them to employees for business use on an as-needed basis. For instance, certain departments within W&M have specific responsibilities for safety, security and/or effective operations of the W&M community at all times and may find it more cost effective to assign a W&M-owned phone to the employee(s) “on-call” on a periodic or rotational basis rather than require employees to have an employee-owned wireless communications device and provide a monthly stipend based on the level of service needed to meet the employees’ job functions.

In those limited cases and with approval by the appropriate Vice President, Senior Vice President, or Provost, departments may request the purchase of a W&M-owned device through the Procurement Office. Procurement will ensure that appropriate wireless contracts are developed to address the number of employees required to carry wireless equipment, the volume of calls, and the most cost effective means of addressing the requirements. Departments are required to submit documentation regarding the business purpose of all wireless communications devices to the Procurement Office, the employees to which they are assigned, and documentation that the devices are provided for business use, using the [University-Owned Device Request Form](#).

No documentation of usage is required since these devices are restricted to business use. Any reasonable personal use of a W&M-owned device will be treated as a *de minimis* fringe benefit. However, the department’s management should review the bills on a monthly basis to note any significant variances in charges.

1. Annual Departmental Review and Documentation of Business Need. It is the department head's responsibility to review wireless communication needs and budgetary impact for W&M-owned devices in his/her department on at least an annual basis. Both the employee and the department head must sign the agreement. For shared devices, any employee that will use the device is required to read and sign the agreement prior to its use. See [University-Owned Device Request Form](#).

2. Departmental Responsibility for Cost and Contract Obligations. Because W&M-owned devices are designed to be used for W&M communication only, the department will be responsible for the cost and contract obligations of the service plan. All W&M-owned cell phones must be procured through an approved W&M contract to ensure effective pricing. All devices procured through W&M remain the property of W&M and the employee must surrender the device immediately to the department upon termination of employment or cessation of the department need.

3. Documentation/Audit Requirements. Departments are required to submit copies of the approval forms/agreements to Procurement. Receipts or other valid evidence of device purchases and service contracts, and documentation of device usage shall be retained for five years for internal or external audit purposes.

4. Employee Responsibility to Reimburse W&M for Personal Use. Any unusual or excessive personal use of a W&M-owned wireless communications device must be paid to W&M by the responsible employee(s) based on documented device usage. Charges above the monthly plan are an indication of unusual or excessive use and the employee must explain or justify such use if payment by the employee to W&M for excess charges is to be avoided. This applies to W&M-owned devices that meet the business use definition.

5. Privacy Rights. No user shall have any expectation of privacy in any message, file,

image or data created, sent, retrieved, received, or posted in the use of the Commonwealth's equipment and/or access. W&M has a right to monitor any and all aspects of electronic communications and social media usages. Such monitoring may occur at any time, without notice, and without the user's permission. See Virginia Department of Human Resource Management, Policy 1.75.

6. Recommended Vendors. Departments are required to purchase wireless communications devices and service plans that are available from approved vendors participating in W&M preferred vendor programs. For more information, contact W&M Procurement at procur@wm.edu.

VI. Authority and Amendment; Implementation

This policy was approved by the Senior Vice President for Finance and Administration. The Chief Financial Officer is responsible for interpreting and implementing this policy.

VII. Related Policies and Other Documents

- [Acceptable Use Policy for Employees](#)
- [Virginia Department of Human Resource Management, Policy 1.75](#) (pdf)
- [FOIA Policy](#)
- [Data Classification and Protection Policy](#)
- [Data Encryption Standard](#)
- [Commonwealth' Standard for Removal of Data from Electronic Media](#) (pdf)

[1] Any property or services provided to an employee by an employer to the extent that, if the employee paid for the property or service, the amount paid would be allowable as an ordinary and necessary business expense deduction.

Date: July 1, 2017

Note: this supersedes PPD-0340

Number: PPD - 0024
Subject: Allocation of Office, Laboratory, Work, and Storage Space

The Dean and Director of the Virginia Institute of Marine Science (VIMS) allocates office, laboratory, storage and other work spaces, 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 Associate Dean of Research and Advisory Service 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 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.

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

Rev.: Mar. 2017

**Policy and Procedure Document
Virginia Institute of Marine Science
William & Mary**



Number: PPD - 0025
Subject: Visiting Scientists

Visiting scientists and visiting post-doctoral research associates are Non-William & Mary (W&M)/Virginia Institute of Marine Science (VIMS) professional colleagues who work on a campus of VIMS, interact with faculty, students, and staff while involved in research yet are not paid employees of VIMS or W&M. 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 is beneficial both to VIMS and to the visiting scientist, VIMS 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 of host department/center, who will facilitate the visitor's period of residence. The host will co-sign the **Application for Visiting Scientist/Visiting Post-Doctoral Research Associate** (appended to this document) and will guide the visitor through the initial check-in procedure and provide introduction to VIMS's personnel and organizational structure.

Persons seeking to host a visiting scientist must obtain permission of the department chair/center director, who is responsible for the allocation of space and other resources, and from the Associate Dean of Research and Advisory Services who will consider the overall impact on VIMS. The Office of the Dean and Director will maintain records of visiting scientists. 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/center director and Associate Dean of Research and Advisory Services on a yearly basis.

Status as a visiting scientist carries no rights nor 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 VIMS 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 Associate Dean of Research and Advisory Services.

A visiting scientist must sign a [Liability Release Form](#) and go through an abbreviated [check-in procedure](#) including basic safety and right-to-know training. The [check-in form](#) is filled out as appropriate to the access that will be required. The Manager of Telecommunications and primary telephone console attendant needs 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 VIMS Department of Information Technology and Network Services (ITNS); even if the visiting scientist will use only a wireless connection to the VIMS'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 parking, library sign-out permission, and office access and keys, among other things.

A visiting scientist's host is able to request **specific W&M IT services** (Blackboard, Shared Drives, email) and **door access** as it pertains to required responsibilities on campus. Access may be requested through the W&M IT Department (via [Request IT](#)) and can take up to 2 business days to process. An affiliate will then be required to visit [Tribe Card Services](#) at the W&M Campus Center to receive their W&M Tribe Card.

Date: July 1, 2009
Rev: May 6, 2010
Rev: April 16, 2011
Rev: Jan. 24, 2018
Rev: Dec. 12, 2018
Rev: Mar. 9, 2021

**APPLICATION FOR STATUS AS A
VISITING SCIENTIST OR VISITING POST-DOCTORAL RESEARCH ASSOCIATE
AT THE VIRGINIA INSTITUTE OF MARINE SCIENCE**

It is proposed that _____ be granted status as a Visiting Scientist or Visiting Post-Doctoral Research Associate at the Virginia Institute of Marine Science for the period beginning _____ and ending _____.

_____ will serve as Host to the Visiting Scientist or Visiting Post-Doctoral Research Associate and recommends the award of that status.

Home institution and department: _____

Visiting Scientist or Visiting Post-Doctoral Research Associate

(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 or
VISITING POST-DOCTORAL RESEARCH ASSOCIATE

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 or Visiting Post-Doctoral Research Associate:

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

Department Chair:

I have reviewed this application for Visiting Scientist or Visiting Post-Doctoral Research Associate 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)

Associate Dean of Research and Advisory Services:

I approve the award of Visiting Scientist or Visiting Post-Doctoral Research Associate status as described above:

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

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

BACKGROUND: As the Virginia Institute of Marine Science (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 VIMS 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:

VIMS Department Chair, Date

External Partner, Date

Dean and Director, Date

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.

**Policy and Procedure Document
Virginia Institute of Marine Science
William & Mary**



Number: PPD - 0027
Subject: Office Space for Emeritus Faculty

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 (VIMS) 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 VIMS; 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

Number: PPD - 0103
Subject: Alcohol for Use as a Research Chemical

The Virginia Institute of Marine Science (VIMS) 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 VIMS 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 Associate Dean of Research and Advisory Services 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 are 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

Number: PPD - 0104
Subject: Scientific Misconduct

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](#)

In addition to the regulations of William & Mary, 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 Programs](#) maintains links to those policies and procedures.

At the Virginia Institute of Marine Science (VIMS), concerns about possible scientific misconduct should be brought to the Department Chair, the Associate Dean of Research and Advisory Services, or the Dean and Director. The Associate Dean of Research and Advisory Services is the senior administrator responsible for enforcing the procedures for dealing with scientific misconduct. Should the Associate Dean of Research and Advisory Services for any reason be unable to fill that role, the Associate 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 VIMS. 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 [Associate Dean of 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 W&M 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 or a higher administrative officer 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

**Policy and Procedure Document
Virginia Institute of Marine Science
William & Mary**



Number: PPD – 0106*
Subject: Research Proposals

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 Associate Dean of Research and Advisory Services.

Investigators are strongly encouraged to contact OSP 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 full set of procedures and forms can be found on the Office of Sponsored Programs web site, [VIMS Proposal Submission Requirements](#).

At least 10 business 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
- Associate Director of Sponsored Programs
- Associate Dean of Research and Advisory Services

Date: July 1, 2009

*policy currently under review March 2021

Number: PPD - 0107
Subject: Project Management

The management and administration of (externally funded) research projects is a complex and demanding task. Although research funding is awarded to the Virginia Institute of Marine Science (VIMS), the Principal Investigator (PI) 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.

PIs, especially those with limited experience, are encouraged to communicate with the Associate Dean of Research and Advisory Services, personnel in the Office of Sponsored Programs (OSP), and the Departmental Finance Officer/Business Manager to learn about the practice of project management.

OSP assists PIs 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,

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

1. The VIMS Radiation Safety Plan and forms
2. The William & Mary Institutional Animal Care and Use Committee (IACUC) and its Policy and Procedures for Research and Teaching Involving Live Vertebrate Animals
3. 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 (AFRI)

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 PI.

Date: July 1, 2009

Number: PPD - 0108
Subject: Authorship Credit on Publications

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

HTML Version, September 2006, updated from Revised Printed Edition, August 2007
<http://ori.hhs.gov/education/products/RCRintro/>

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:

1. Was intimately involved in the conception and design of the research,
2. Assumed responsibility for data collection and interpretation,
3. Participated in drafting the publication, and
4. 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

**Policy and Procedure Document
Virginia Institute of Marine Science
William & Mary**



Number: PPD - 0109
Subject: Author's Address on Publications and Similar Documents Relating to the Virginia Institute of Marine Science

Institutional Address

Consistency in presentation of the address for the Virginia Institute of Marine Science is a requirement. When incorporating the author's address on publications, use the format shown below.

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

Note that Department or Center affiliations are not to be entered in the address. 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."

Date: July 1, 2009
Rev.: October 15, 2009

Number: PPD - 0110
Subject: Research Activities on the VIMS Pier, Beach, or Immediately Offshore of
Campus

In order to assure that the resources of the Virginia Institute of Marine Science (VIMS) are appropriately allocated and in order to keep track of who is responsible for specific activities, any use of the piers, the beach, or the waters or bottom of the York River immediately offshore of the Institute's Gloucester Point campus must be approved by the Associate Dean of Research and Advisory Services (ADRAS). The process of obtaining prior approval for such activities should limit the likelihood of conflicting uses and should assist in the management of multiple, potentially competing requests for the use of limited resources.

The ADRAS will maintain an up-to-date file listing the programs/principal investigators authorized to deploy equipment or otherwise use the Institute's piers, the duration of that authorization, the locations along the piers where materials that will be stored or hung, and the nature and purpose of the work. The ADRAS also will maintain an up-to-date list of the programs/principal investigators authorized to place materials on the VIMS beach or in the waters immediately offshore, the duration of that authorization, the specifics of where those materials will be placed, and the nature of the work. The ADRAS will send copies of these files to the Director of Facilities Management and to the Director of Safety and Environmental Programs. This will enable the staffs of Facilities Management and of Safety and Environmental Programs to determine whether or not persons working on the pier or shore are authorized to do so and to enable staff in Facilities Management, including Security, and in Safety and Environmental programs to contact the appropriate Principal Investigator or Laboratory Manager should there be a concern or problem related to specific materials.

Persons desiring to place materials in the water or on the river bottom below the level of Mean Higher High Water are responsible for securing any permits or authorizations required by the Virginia Marine Resource Commission or any other agency. Applications for such permits must be coordinated through the ADRAS.

In so far as possible, any materials should be labeled with basic contact information for the research program or for one or two individuals who could respond to problems with the materials. Investigators should remember that it is impossible to stop unauthorized access to the pier from the water (the ladders are mandatory safety equipment) and should secure and label their materials accordingly.

Persons involved in activities on the pier that involve working with overboard equipment should be aware of the general requirement to wear an appropriate Personal Flotation Device (PFD) and of the general requirement to abide by the “2-person rule.” If in doubt, contact the Office of Safety and Environmental Programs.

Recreational fishing and crabbing from piers are prohibited. Fishing and crabbing from the piers as part of scientific projects are allowed with written permission from the Associate Dean of Research and Advisory Services. See Policy and Procedure Document 0401.

Date: January 6, 2012

Number: PPD - 0111
Subject: VIMS Nunnally Ichthyology Collection Policies and Procedures

This document presents the policies that govern borrowing materials from the VIMS Nunnally Ichthyology Collection, and provides guidance on other uses of the Collection.

Loans

Specimens in the VIMS Nunnally Ichthyology Collection are available for use for research, education, or outreach activities by both VIMS employees and qualified individuals outside of the Institute. Loans can be arranged by contacting the [Collection Manager, VIMS Ichthyology Collection](#) with a listing of desired specimens (i.e., common names, scientific names, or VIMS catalog numbers). A list of collection holdings can be found at the [Fish Collection Database](#). Loan requests are generally processed within one to two weeks, depending on specimen availability.

Borrowing of or removal of collection specimens without a loan invoice generated by the [Collection Manager](#) is not permitted, except when the specimen will not leave the Fisheries Science Laboratory building or Nunnally Hall.

If specimens will not leave the Fisheries Science Laboratory building or Nunnally Hall, an “In-House Loan Slip” (available in Nunnally 106) should be filled out and left on the shelf where the specimen was located. For tracking purposes, please alert the Collection Manager prior to borrowing, indicating what specimen(s) will be removed, the purpose of the loan, and the expected duration of the need for the specimen. Specimens should be returned to the "In-house Loan Returns" shelf located just inside the collection room, not **re-shelved**.

Prior approval of the [Collection Manager](#) or Curator is required if specimens are to be dissected, cleared and stained, or otherwise altered.

Collection Tours

All tours, even informal tours with family members or prospective graduate students, should be arranged in advance with the [Collection Manager](#). Tours will not be permitted during periods when chemical exposure may be a safety hazard (e.g., during coffin maintenance or during preparation of oversized specimens).

Acquisitions

The [Collection Manager](#) should be contacted for information regarding specimens for -deposit into the collection. Consideration will be given to research specimens (particularly resulting from VIMS research), rare collections, unusual occurrences, or other material requiring long-term preservation. Specimens should be either frozen or formalin fixed and should include

detailed collection data affixed to the specimen (collector, date, locality, etc.). If not the result of VIMS research, please provide documentation that the specimens were collected legally and are to become the property of VIMS (e.g., copies of collection permits and deeds of transfer); information on appropriate documentation can be provided by the [Collection Manager](#).

Publications

The [Collection Manager](#) should be provided with the citation and copy of any paper published with reference to collection specimens. A bibliography of papers on collections specimens can also be provided by the [Collection Manager](#).

Date: February 4, 2014

Number: PPD – 0112 (previously PPD-0022)
Subject: Freedom of Information Act

The Virginia Freedom of Information Act (FOIA), located § 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.

The Code of Virginia (§2.2-3701; updated since 2009) states that *"Public records" means all writings and recordings that consist of letters, words or numbers, or their equivalent, set down by handwriting, typewriting, printing, Photostating, photography, magnetic impulse, optical or magneto-optical form, mechanical or electronic recording or other form of data compilation, however stored, and regardless of physical form or characteristics, 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 Virginia Institute of Marine Science (VIMS) 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; however, the law provides limited flexibility to assure completeness of information addressing the request. Therefore, when a FOIA is received the individual receiving the request must immediately inform the Associate Director for Advisory Service who serves as VIMS FOIA Officer or, in the absence of the VIMS FOIA Officer, the W&M 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

**Policy and Procedure Document
Virginia Institute of Marine Science
William & Mary**



Number: PPD - 0201
Subject: Insurance

The Chief Financial Officer is responsible for all aspects of the insurance program for the Virginia Institute of Marine (VIMS), whether the insurance is provided by a “self-insurance” program, through the State, through a commercial provider, or by any other means.

The Chief Financial Officer delegates day-to-day operation of the insurance program to VIMS [Risk Manager](#), with the exception of claims relating to the [Workers’ Compensation Program](#) which are primarily handled through the Office of the Dean and Director. (see Policy and Procedure Document 0509).

Persons with concerns, needs, or questions about VIMS insurance coverage should contact the [Risk Manager](#). Such concerns would include, but not limited to, claims or potential claims and needs to insure new equipment

Date: July 1, 2009
Rev.: July 5, 2012
Rev.: March 2017

Number: PPD - 0202
Subject: External Billings

The Office of Finance is responsible for sending invoices to external entities. An invoice, or also referred to as a billing, is considered external if the charges are to be paid by non-institutional funds, or by an outside source other than a granting agency. All external billings must be reviewed and approved by the Office of Finance prior to an employee making a commitment. This is a necessary review of proposed services to prevent unfair competition with readily available outside sources.

I. PURPOSE

To provide guidelines for the policy regarding invoicing and collecting for customers external to VIMS in compliance with Generally Accepted Accounting Principles and support of internal controls essential for the proper use of state funds.

II. SCOPE

All departments considering external business should contact the [Institutional Accountant](#) in the Office of Finance. Prior to offering external services, rates for services must be reviewed and approved by the [Chief Financial Officer](#). The centralization of external billings ensures consistency in the application of accounting procedures, improves efficiency, and provides for better cash control. The Office of Finance's responsibility is to invoice all external parties in accordance to the specifications of the responsible department and subsequently collect the funds.

III. EXTERNAL BILLING PROCEDURES

Invoicing external parties are processed monthly. Departments are required to provide the [Institutional Accountant](#) with either a draft invoice or specifications to create an invoice within two (2) days upon completion of the service.

The following information is **REQUIRED** for all external billings (please obtain complete information prior to providing any service and send to the [Institutional Accountant](#)):

1. A copy of the commitment agreement** is required (in lieu of the commitment agreement, the following can be used)
 - Purchase Order
 - Email containing all pertinent information
 - An "agree to pay" document such as an EMS confirmation agreement, etc.

2. When using one of the above suggested forms, the following information must be included.
 - Billing detail (description of service provided, date of service, amount to be charged)
 - Full name of person(s) responsible for payment of the bill
 - Full billing address (including zip code), phone number (including area code) and email address

**Use of a commitment agreement will allow for optimal collection effort. A standard commitment form for use by the VIMS community is located on the VIMS Forms website. For questions or concerns, please contact the Institutional Accountant.

BE ADVISED:

If complete billing information to include commitment agreement is not provided, the ability of the Institute to collect outstanding debt is not supported.

If after sending three external bills, a payment has not been received, it is necessary for the Institutional Accountant to forward this information to the Office of the Bursar, University Loan & Collections for William & Mary to continue collection efforts through. Departments will be notified via e-mail if this occurs.

Note: The [Commitment Agreement](#) is available in VIMS Accounting and Purchasing Toolbox (See Accounting Forms) in a fillable format.

VIMS

[Company Address]
[City, ST ZIP Code]



COMMITMENT AGREEMENT

Date

[Date]

Services Performed By:

VIMS
[Department Name]
[Company Address]
[City, ST ZIP Code]

Services Performed For:

[Client Name]
[Client Address]
[City, ST ZIP Code][Email Address]

Period of Performance

The Services shall commence on [Click to select date], and shall continue through [Click to select date].

For Office Use Only:

Bill To Address	Client Project Manager	Phone Number
[Client Address] [City, ST ZIP Code][Email Address]	[Project Manager Name]	[Phone Number]
Responsible Department	Department Project Manager	Phone Number
[Department Name]	[Department Project Manager Name]	[Department Phone Number]

Date: July 15, 2015

Number: PPD - 0203
Subject: Signature Authority and Delegation on Personnel and Travel Forms

The purpose of this policy is to delineate the appropriate procedure for delegation of signature authority from a department chair or unit head to another employee or subordinate in order to execute certain documents on his/her behalf. There can be no sub-delegation by designees. Delegates may not approve transactions for themselves, their relatives or approve transactions that directly benefit themselves or their relatives or, in any way, create a conflict of interest with the Delegate's responsibilities to the Institution. Such transactions must be countersigned by another authorized person, usually the person of next higher authority.

Signature authority can be delegated for the following forms:

1. **Check-in and Clearance Forms**
2. **Travel Authorization and Reimbursement Forms (Chrome River)**
3. **Personnel Action Forms**
4. **Employee Tuition Waiver Form**
5. **Personal Service Agreement Form**
6. **Awards and Recognition Form**

It should be noted that the delegation of signature authority does not relieve administrative officials of their responsibility and accountability for documents signed by the designee. It is not meant to replace normal day to day obligations of the department chair/unit head.

The [Delegation of Signature Authority Form](#) is located at the bottom of this document. The original Delegation of Authority Form should be returned to the Dean and Director's Office and copies held in the originating department/center. Upon execution of the form, the authorized delegated employee will sign their name on the above forms in the appropriate section in the absence of the department chair/unit head. The proper way for the Delegate to sign on behalf of the department chair/unit head is the following:

[original signature] for [printed name of department chair/unit head]

Date: October 2015
Rev.: March 2021

Signature Authority and Delegation Personnel and Travel Forms

In the absence of a Department Chair/unit head, a designated employee or subordinate may sign certain documents in their behalf. The delegation of signature authority does not relieve administrative officials of their responsibility and accountability for documents signed by the designee. It is not meant to replace normal day to day obligations of the department chair/unit head.

_____ Chair, Dept. of _____

I further delegate the authority to _____ (include title)

to execute, in my absence, certain documents and forms as listed below:

- 1. Check-in and Clearance Forms**
- 2. Travel Authorization and Reimbursement Forms (Chrome River)**
- 3. Personnel Action Forms**
- 4. Employee Tuition Waiver Form**
- 5. Personal Service Agreement Form**
- 6. Awards and Recognition Form**

For Department:

This authority shall remain in effect as long as _____ is employed in the position of _____ or until revoked by me.

This _____ day of _____, 20_____

Signature: _____

Once this form is executed, the authorized delegated employee will sign their name on the above forms in the appropriate section in the absence of the department chair/unit head.

The proper way for the Delegate to sign on behalf of the department chair/unit head is the following:

[original signature] for [printed name of department chair/unit head]

Acknowledgement of authorized delegated employee:

Signature: _____

The original Delegation of Authority Form should be returned to the Dean and Director's Office and copies held in the originating department/center.

Number: PPD - 0204
Subject: Gift and Grant Award Notification and Monitoring Procedures

Purpose:

The [VIMS Foundation Accountant](#) is responsible for notifying award recipients of available funds (gifts or grants) in the VIMS Foundation to support their program in a timely manner, and to distribute and monitor these funds for expenditure in order to ensure their most prompt and efficient use by the award recipient and in accordance with Board approved budgets.

Definitions:

Banner Index: Account number assigned within the Banner Financial Accounting System which allows financial activity to be tracked by funding source, responsible organization, and program code.

Endowment: Donor gift that lasts in perpetuity where only the earnings generated on the gift through investment are used to fund either activities restricted for a specific purpose stipulated by the donor or unrestricted for purposes to be determined by the VIMS administration and VIMS Foundation Board.

Restricted Gift Funds: Donor current use gifts or grants restricted for specific purposes such as research or the purchase of equipment.

Restricted Endowment Spendable Funds: Funds generated from earnings on restricted endowments calculated based on the most current spending policy as approved by the VIMS Foundation Board less the most current administrative fee in effect as approved by the Board. The proceeds from the administrative fee are used to fund unrestricted operating or programmatic costs as approved by the VIMS Foundation Board during the budget process.

Unrestricted Endowment Spendable Funds: Funds generated from earnings on unrestricted endowments calculated based on the most current spending policy in effect as approved by the VIMS Foundation Board.

Procedures:

Restricted Current Use Gifts or Endowments

Notification Process

- A gift/award notification and information package is received by the VIMS Foundation Accountant from the W&M Office of Advancement.
- The VIMS Foundation Accountant creates a Banner index(es) for the gift and then notifies the relevant award recipient and department financial officer of the new funds via email.
- The gift/award notification package from the VIMS Foundation Accountant includes:

- On VIMS Foundation letterhead:
 - The type of restricted funds (endowment or current use)
 - Date of award notification
 - Index number and title
 - Amount of gift
 - For endowment gifts only: when the spendable amount will be known and available, and the spendable index number. (If a gift is received prior to the December deadline with completed paperwork, the spendable amount will be available the second subsequent fiscal year beginning July 1.)
 - Purpose as outlined by the donor
 - Fund Administrator/Department
 - Financial Manager
 - Donor signed letter of intent, letter of commitment, endowment agreement and endowment abstract, and/or advancement solicitation
 - Award letter and project proposal, if applicable
- If labor charges are included in the project, an index is also created in the VIMS chart of accounts (chart V) as the VIMS Foundation chart of accounts (chart M) is unable to process labor expenditures. This normally occurs for grant awards based on proposals submitted with a scope of work. In this instance, only the Chart V index will be provided in the award notification package above to the responsible party either by the Institutional Accountant or by the Office of Sponsored Programs (OSP). The process for handling awards that flow through Chart V is:
 - A sub-award agreement from the VIMS Foundation to VIMS is processed to create a chart V index to track all expenditures.
 - The chart V index create form is reviewed and approved by the VIMS Foundation's Director of Financial Operations prior to creation.
 - The Financial Administrator (either Institutional Accountant or OSP Administrator) notifies the award recipient, and Financial Officer of the Chart V index for the project.
 - For endowment gifts, once the associated spendable funds are calculated and approved by the VIMS Foundation Board in April of each year, a report of the spendable amounts by endowment will be provided to the VIMS Chief Financial Officer (CFO) and the VIMS Budget Director to incorporate into the internal budget development process. Once the budget process is finalized, the relevant Financial Manager and award recipient will be notified by the Foundation Accountant with the allocated amount and a spendable index.
 - Notification of those endowment spendable funds not distributed by the CFO will be provided by email to the responsible Financial Manager and award recipient along with the spendable index by the Foundation Accountant.

Monitoring Process for Restricted Current Use Gifts and Restricted Endowment Spendable Funds

- For Foundation funds in chart V, indexes in the 7Z series are used to track expenditures for less complex donor grants. These funds are monitored by the Institutional Accountant, and current balances are updated semi-annually in Banner based on additional awards received by the VIMS Foundation or by direct charges to the VIMS Foundation. Indexes in the 79 series are used to track VIMS Foundation expenditures for more complex grants such as those that require sub-awards or financial reports. These funds are monitored by OSP. For all VIMS Foundation funded indexes in Chart V, expenditure certification reports which reflect current balances are run on a quarterly basis and provided in hardcopy form and delivered to the responsible party via interoffice mail.
- For Foundation funds expended directly in Chart M that do not also have an index in Chart V, a cash balance is provided semi-annually to the award recipient and Financial Manager.

Unrestricted Gifts and Unrestricted Endowment Spendable Funds

Unrestricted gifts and unrestricted endowment spendable funds are used to fund the operations of the VIMS Foundation such as finance, development, and outreach, but programmatic costs can be funded as well.

- Between mid-February and early March, an internal meeting is held with the CFO, the Executive Director of Advancement and VIMS Foundation, the Dean and Director, the VIMS Foundation Director of Financial Operations, and the Foundation Accountant to develop an operating budget for the upcoming fiscal year.
- In mid-March, the operating budget is presented to the VIMS Foundation Budget and Finance Committee for review, input, and approval to recommend to the full Foundation Board.
- The Budget and Finance Committee presents the recommended budget to the full Foundation Board in mid-April.
- If applicable, once the Board has approved the budget, notification of unrestricted funds budgeted for programmatic purposes will be provided by the Foundation Accountant.

Monitoring Process for Unrestricted gifts and Unrestricted Endowment Spendable Funds

- In July, the Foundation Accountant loads a budget by index into the Banner Finance System based on the approved line item budget. This allows the Offices of Advancement

and Finance to see the available operating budget line item balance for which each is responsible at all times.

- The Foundation Accountant provides the VIMS Foundation Director of Financial Operations with a report of unrestricted operating budget balances available on a quarterly basis.
- The VIMS Foundation Director of Financial Operations meets with the Executive Director of Advancement and VIMS Foundation, and the Director of Outreach three times per year to provide and discuss budget status.

Date: August 2017

**Policy and Procedure Document
Virginia Institute of Marine Science
William & Mary**



Number: PPD – 0205 (Previously PPD-1201)
Subject: Surplus Materials

The Virginia Institute of Marine Science (VIMS) 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 [W&M Fixed Asset Management Team](#) acts to assist personnel at VIMS with the acquisition and disposition of surplus property. Anyone desiring to obtain surplus materials from either the state or federal government or to declare any material owned by VIMS as surplus must contact the staff of the Fixed Asset Management Team which will provide information on how to comply with the numerous, then current regulations.

Date: July 1, 2009

**Policy and Procedure Document
Virginia Institute of Marine Science
William & Mary**



Number: PPD – 0206 (Previously PPD-1202)
Subject: Purchasing

The policies and procedures for purchasing (procurement) at the Virginia Institute of Marine Science (VIMS) are those of William & Mary, as modified for implementation at VIMS, and the Commonwealth of Virginia. Persons needing specific guidance should contact their respective purchasing agent or [Carol Tomlinson](#).

Date: July 1, 2009
Rev.: March 12, 2021

**Policy and Procedure Document
Virginia Institute of Marine Science
William & Mary**



Number: PPD – 0207 (Previously PPD-1203)
Subject: Business Related Checks to VIMS

All business-related checks received at the Virginia Institute of Marine Science (VIMS) must be given to Denise Berry, Office of Finance in Watermen’s Hall for receipt and logging. Any obvious checks that are received via USPS or any other special delivery, as well as any hand-delivered check(s) that you might receive, must also be given to Denise Berry within the same day.

After the checks have been received and appropriately logged, an email is sent to the Cashier, Data Control, and Sherry Berry Joyner at W&M. The log sheet(s) and check(s) are then placed in a lockbox that is located in the VIMS Cashier door. On a weekly basis, a Cashier from W&M will retrieve and confirm that the check(s)/log sheet(s) are accurate and begin immediate processing to avoid any unnecessary delays. The Cashier will also notify the appropriate individual that the checks have been posted in the Banner Financial System.

Date: July 1, 2009
Rev.: March 12, 2021

Number: PPD – 0208 (previously PPD-0514)
Subject: Shipping/Receiving of Hazardous Materials, Dangerous Goods, and Biological Specimens

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 the Virginia Institute of Marine Science (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 Mail Room/Shipping and Receiving (MR/S&R). Initial contact with the [MR/S&R Manager](#) is required well in advance should shipment or receipt of any of these type materials be anticipated. Mailers are required to list contents, or if liquid, fragile, perishable, or potential hazardous.

The VIMS' [Office of Safety and Environmental Programs](#) may be contacted for general information if unable to obtain the information required from VIMS' MR/S&R.

Date: July 1, 2009
Rev.: July 2016
Rev.: March 12, 2021

Number: PPD – 0214 (previously PPD 0014)
Subject: Shipping/Receiving and U.S. Postal Service

The purpose of this document is to provide the basic procedures for handling U.S. Postal Service mail and packages shipped/received at the Virginia Institute of Marine Science (VIMS).

The Mail Room/Shipping and Receiving (MR/S&R) Office is open from 8:00 am until 5:00 pm and closed for lunch from noon to 1:00 pm. Any change in the regular hours of operation will be posted via e-mail to the entire campus. The MR/S&R staff will assign mailboxes, provide keys and sort mail to the various departmental mail boxes. Departmental designees will be responsible for mail pickup and distribution across campus.

There are three basic types of mail:

1. Campus mail – Exchanged between the York River Campus, Eastern Shore Campus (ESL), Topping and the William & Mary (W&M) campuses.
2. U.S. Mail – all mail received or sent from any VIMS's campus through the U.S. Postal Service (USPS).
3. Courier Service Mail and Package/Freight Delivery – letter-sized packages and larger, sent by private courier services such as United Parcel Service (UPS), Federal Express (FedEx) and via freight services.

Campus Mail

- a. Campus mail bound for W&M is generally picked up on Tuesday and Thursdays, in the morning, to be delivered to the W&M campus mailroom the same day. Mail should be brought to the MR/S&R by 9:00 am on those days. If timing is critical, campus mail to W&M should be mailed first class.
- b. Campus mail to the ESL and Topping will be mailed once/week.
- c. Campus mail will be sorted as it is received.

U.S. Postal Service Mail

- a. The staff of the MR/S&R will meter official business mail which either must be in an official VIMS envelope or packaged with a VIMS mailing label. The name of the sender should appear with the return address, as well as the Banner index number for billing. It must be properly characterized regarding the presence of liquid, fragile, perishable or potentially hazardous content.
- b. All outgoing mail for USPS should be received by 9:00 am for processing. The US Postal Service mail carrier comes once per day to deliver incoming mail and to collect outgoing mail, usually between 10:30 am and 2:00 pm. Any mail received after the mail carrier leaves will be processed and postmarked the next business day.
- c. Special US Postal Services are available through MR/S&R including certified, insured, express delivery and tracking confirmation.

- d. USPS mail is generally delivered to VIMS mailboxes by 3:00 pm. Delivery the first day after a holiday may be later.
- e. Individuals with large volumes of mail should communicate with the staff of the MR/S&R well in advance of the expected mailing date. The organizational unit sending the large mailings will be responsible for the cost of postage and for all processing.
- f. No personal mail will be sent or received.

Courier Service Mail

- a. UPS and FedEx mail should be in the MR/S&R for processing by 8:30 am for a morning pickup. UPS and FedEx deliveries and pickups are made on various schedules.
- b. Outgoing for FedEx Express US Air Bill must be received no later than 11:30 am daily.
- c. **FedEx is the only option for shipping anything containing dry ice, chemicals, lithium batteries, flammable liquids or solids, as well as anything potentially explosive, poisonous or corrosive.** The shipper must provide the proper shipping name/description of the hazardous item.
- d. UPS has a drop box in Watermen's Hall for very small parcels or flat envelopes. Larger parcels must be processed through MR/S&R.
- e. MR/S&R should be notified regarding expected delivery of any large equipment/packages, particularly those requiring a forklift. MR/S&R should be provided with delivery location and contact number(s) for recipient and backup contact.
- f. PCO, DO, EP, or Z numbers should be part of all shipping label information. The staff in MR/S&R will send out a daily e-mail with delivery notifications associated with the PCO/DO/EP/Z numbers as well as those which arrive unidentified.
- g. MR/S&R should be notified of any ETF or VIMS orders over \$5K prior to delivery in order to be tagged appropriately and efficiently.
- h. No personal mail or packages should be shipped to arrive in the MR/S&R nor any personal mail or packages should be dropped off for shipping.

During the check-in process (PPD-1015), all persons, faculty, staff, student, volunteer, or extended term visitor, new to VIMS shall contact staff in the MR/S&R 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 MR/S&R 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.

As part of the check-out process (PPD-1016), when a person leaves the campus community, MR/S&R receives on a monthly basis from Human Resources the forwarding address. VIMS will not forward mail for more than one month after an individual has left campus. Persons leaving should notify journals and other parties who regularly send them mail of the change in address.

Date: July 1, 2009,
Rev.: January 5, 2010
Rev.: October 2016
Rev.: March 12, 2021

Number: PPD - 0217 (previously PPD-0017)
Subject: Travel - Pre-approval and Expense Report

The policies of the Virginia Institute of Marine Science (VIMS) concerning travel are those of William & Mary (W&M), the Commonwealth of Virginia, and, in some circumstances, the federal government. The state and federal regulations as well as some various forms can be found on the [Accounting and Purchasing Toolbox](#) of the Administration page of the VIMS website. Specific questions concerning the travel regulations should be directed to the [Carol Tomlinson, Director, Financial and Administrative Services](#), and can also be found on the [Chrome River](#) page of the university website.

All VIMS related travel requires a pre-approval. Routine local travel, even if no reimbursement is sought, should be addressed in a “blanket” pre-approval. Failure to obtain the pre-approval 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.

In order to allow sufficient time for review, pre-approval travel requests should be submitted as far in advance of the proposed dates of travel as possible. Pre-approvals are prepared via [Chrome River](#) by submitting your W&M ID and password. As travel outside of the United States requires additional authorizations, in some cases by the Agency Head (VIMS’ Dean and Director), it is essential that the pre-approval be submitted well 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. Reimbursements should also be submitted electronically via [Chrome River](#).

Date: July 1, 2009
Rev.: May 1, 2020
Rev.: March 11, 2021

Number: PPD - 0220
Subject: Office of Sponsored Programs –
Fixed Price Grants and Contracts: Residual Balance Transfers and
Deficit Recovery

DEFINITIONS

Sponsored Projects can be funded in several ways.

A “*Fixed Price*” award is one in which the PI and the Virginia Institute of Marine Science (VIMS) agrees to accomplish the project objectives within a specific timeframe for a set dollar amount. If the deliverables are not completed within the award period an extension must be requested. The award amount remains constant, even if the actual costs for the project are more or less. Any over-expenditure is the responsibility of the PI or department. Residual balances are retained by the Institute and may be distributed to the PI.

“*Fixed Fee*” awards are funded for a set dollar amount per unit of measure; i.e., per student or per hour. These projects at VIMS are often for community education (i.e., courses offered to other state agencies). The fee per unit remains the same, even if the actual costs per unit fluctuates from the proposed and award figure, but the total award may vary based on number of units. Any over-expenditure is the responsibility of the PI or department. Residual balances are retained by the Institute and may be distributed to the PI.

“*Cost Reimbursable*” agreements indicate that a sponsor will fund a project to the extent described in the award notice. VIMS is reimbursed by the sponsor only for actual costs incurred and any awarded funds that remain unspent revert to the sponsor. Most sponsored projects are “cost reimbursable.”

Fixed Price and Fixed Fee projects are reviewed and administered by the staff of the Office of Sponsored Programs.

Cost Accounting Standard 9905.501 ([Appendix A of OMB Circular A-21 Cost Principles for Higher Education](#)); addresses consistency in estimating, accumulating, and reporting costs. This standard in part says,

“With respect to individual sponsored agreements, the consistent application of cost accounting practices will facilitate the preparation of reliable cost estimates used in pricing a proposal and their comparison with the costs of performance of the resulting sponsored

agreement. Such comparisons provide one important basis for financial control over costs during sponsored agreement performance and aid in establishing accountability for costs in the manner agreed to by both parties at the time of agreement. The comparisons also provide an improved basis for evaluating estimating capabilities.”

To ensure A-21 compliance, VIMS must review fixed price contracts that show a significant deviation between proposed costs and actual expenditures at project completion. If estimates are consistently and significantly higher than actual costs, the institution is required to examine cost estimation procedures to address the problem.

Fixed price agreements involve a degree of financial risk. A fixed price contract requires that VIMS perform the work specified in the contract or award (Scope of Work) to the sponsor’s specifications regardless of the actual cost of doing the work. Therefore, PI’s must budget carefully to ensure that the funds received from the sponsor are sufficient to cover the actual project costs. Ideally, accurate budgeting (estimating) and charging of costs should result in circumstances where there is neither a deficit nor a substantial surplus of funds at project completion.

An Institutional Fixed Price Research Residual Index is maintained in support of the Institute’s Research mission. The index will be monitored and administered by VIMS Chief Financial Officer (CFO), Associate Dean of Research and Advisory Service (ADRAS) and Director of Sponsored Programs. The funds are accumulated as described in the policy below and may be used to support research funding shortfalls when all other available resources have been exhausted.

POLICY

It is the policy of the Virginia Institute of Marine Science that residual balances remaining at the close of a fixed price agreement, in which VIMS does not have to return the balance to the sponsor, will be transferred to the PI’s Fixed Price Variance Index less F&A recovery and a standardized contribution to the Institutional Fixed Price Research Residual Index as outlined below.

Further, upon the departure of a PI, it is the policy of VIMS, that the balance of the PI’s Fixed Price Variance index will be split 50% to the PI’s department and 50% to the Institutional Fixed Price Research Residual index unless otherwise negotiated with the Dean & Director within a reasonable timeframe from departure.

PROCEDURES

1. All project related costs, including Facility and Administrative Costs (F&A; also commonly called “Indirect Costs” or “overhead”), are to be charged to the fixed price contract/grant or related matching index.

2. If the deliverables have been met and the institution has collected the funds, fixed price awards will be closed 90 days after the end date of the award. If the deliverables have not been met, the PI and the Sponsored Programs Administrator will coordinate a request for extension.
3. Deficit balances will be cleared by transferring over-expenditures to a non-sponsored programs index identified by the PI or department.
4. Residual balances will be transferred according to the following guidelines and procedures:
 - 4.1. Residual balances that exceed 25% of the total funded amount.
 - 4.1.1. The PI will complete a VIMS Sponsored Programs Closeout form provided by OSP to certify completion of the Fixed Price Project. The PI will provide an explanation of the variance between the project budget and the actual amount expended. The explanation will be reviewed by the CFO, the ADRAS and the Director of Sponsored Programs.
 - 4.1.2. Residual funds will be used to recover the following, in the order listed below:
 - 4.1.2.1. *Facilities & Administrative Cost Recovery.* VIMS full, federally-negotiated Facilities & Administrative Cost Rate will be applied to the balance of the Fixed Price Project. The applicable rate will be the negotiated rate in place at the time the project was awarded. The F&A recovered will be allocated to VIMS, Department and PI according to the IDC distribution method being used at the time the project closes. (NOTE: All Fixed Price Projects will be accepted at the full federally-negotiated F&A rate; exceptions require the approval of the Dean and Director, or his designee.)
 - 4.1.2.2. *Institutional Fixed Price Research Residual.* The balance will be subject to a 10% (ten) contribution to the Institutional Fixed Price Research Residual Index. (See page 2 for definition.)
 - 4.1.2.3. *PI's individual Fixed Price Variance.* The remaining balance will be transferred by the Office of Sponsored Programs to the index established for the individual PI's use. A PI's Fixed Price Variance index is established to ensure that the expenditure of residual funds, not restricted by the terms and conditions of the former sponsor, continue to follow the guidelines of the Commonwealth and the

Institute.

4.1.3. **Sample Calculation/Scenario.** The PI has a fixed price award for \$100,000 and completes the work with a residual balance of \$30,000. This exceeds the 25% threshold, requiring the PI to submit a justification of the large variance between cost estimates and actual. Upon acceptance of the PI's justification the Office of Sponsored Programs transfers cash as follows: \$9,730 in F&A costs (48% ID C applied to the residual balance based on the negotiated rate at the time of the award), \$3,000 to the Institutional Fixed Price Research Residual index (10% of the residual balance), and \$17,270 to the PI's individual Fixed Price Variance index.

4.2. Residual balances that are equal to or less than 25% of the total funded amount.

4.2.1. The PI will complete a VIMS Sponsored Programs Closeout form provided by OSP to certify completion of the Fixed Price Project. No explanation of variance will be required.

4.2.2. Residual funds will be used to recover the following, in the order listed below:

4.2.2.1. *Facilities & Administrative Cost Recovery.* The F&A rate accepted by VIMS for the subject award will be charged to the residual balance. The F&A recovered will be allocated to VIMS, Department and PI according to the IDC distribution method being used at the time the project closes. (NOTE: All Fixed Price Projects will be accepted at the full federally-negotiated F&A rate; exceptions require the approval of the Dean and Director.)

4.2.2.2. *Institutional Fixed Price Research Residual.* The balance will be subject to a 7% (seven) contribution to the Institutional Fixed Price Research Residual Index. (See page 2 for definition.)

4.2.2.3. *PI's individual Fixed Price Variance.* The remaining balance will be transferred by the Office of Sponsored Programs to the index established for the individual PI's use. A PI's Fixed Price Variance index is established to ensure that the expenditure of residual funds, not restricted by the terms and conditions of the former sponsor, continue to follow the guidelines of the Commonwealth and the Institute.

4.2.3. **Sample Calculation/Scenario.** The PI has a fixed price award for \$100,000

and completes the work with a residual balance of \$10,000. This is less than the 25% threshold so does not require the PI to submit a justification of the variance between cost estimates and actual. The Office of Sponsored Programs transfers cash as follows: \$3,243 in F&A costs (48% IDC applied to the residual balance based on the negotiated rate at the time of the award), \$700 to the Institutional Fixed Price Research Residual index (7% of the residual balance), and \$6,057 to the PI's individual Fixed Price Variance index.

Date: July 2, 2011

Fixed Price Project Supplemental Closeout Form

I certify that all project objectives have been successfully completed and all appropriate direct costs have been charged to the project.

Grant # V _____ Sponsored by (agency) _____

I understand that prior to a transfer of any residual balance funds to my Fixed Price Variance index funds will first be used to recover the following, in the order listed below, in accordance with the VIMS policy on Fixed Price Grants and Contracts: Residual Balance Transfers and Deficit Recovery:

- i. Facilities & Administrative Cost Recovery
- ii. Institutional Research Variance

The following is an explanation regarding the residual balance greater than 25% of the total award:

Principal Investigator

Date

**Submit Form to: Connie Motley, Director of Sponsored Programs via campus mail:
Waterman's Hall, Room 247 or email: motley@vims.edu**

This explanation will be reviewed by a committee consisting of the Chief Financial and Administrative Officer, Director of Research and Advisory Service and Director of Sponsored Programs

CFAO

DRAS

DOSP

Number: PPD - 0221
Subject: Facilities and Administrative (F&A) Costs Rate Reduction/Waiver Policy

Office of Sponsored Programs

DEFINITIONS AND BACKGROUND

Facilities and Administrative (F&A) costs, also known as overhead or indirect costs, are real costs incurred during the course of performing work that cannot be readily and specifically identified with a particular sponsored project. Some examples of F&A costs are utilities, operations and maintenance of plant, general and departmental administrative staff, library services and Sponsored Programs administration.

The F&A rate is established every two years through a detailed cost analysis; then reviewed, audited and approved by the Institute's cognizant federal agency, the Office of Naval Research. The rate agreement establishes the rate to be used on grants, contracts and/or other agreements covering sponsored projects, issued or awarded to VIMS in accordance with the Code of Federal Regulations (CFR).

Although activities covered by F&A costs benefit research, they are initially paid for by the Institute because they cannot be specifically attributed to an individual project. The F&A cost rate (percentage) is applied to the Modified Total Direct Costs (MTDC) of the sponsored project to reimburse the Institute for the projects portion of these costs.

MTDC as defined by the 2 CFR Part 220 (Cost Principles for Educational Institutions, formerly OMB Circular A-21), consists of "all salaries and wages, fringe benefits, materials and supplies, services, travel, and subgrants or subcontracts up to the first \$25,000 of each subgrant or subcontract (regardless of the period covered by the subgrant or subcontract). Equipment, capital expenditures, charges for patient care and tuition remission, long term space rental costs, scholarships, and fellowships as well as the portion of each subgrant and subcontract in excess of \$25,000 shall be excluded from MTDC." Equipment is defined as items costing \$5,000 or more. In addition to the items specifically mentioned in the negotiation agreement, F&A is not applied to charges for VIMS field operations services, VIMS publications center, VIMS analytical services center, or VIMS Seawater Research Lab services.

Agency imposed F&A restrictions can be found in several places. The F&A rate on most awards is established at the time a funding opportunity is announced; in the published Request for Proposals. These announcements typically include specific language indicating the allowable rate for that agency. When no limitation or restriction is specified, the full Institutional rate applies. Some agencies address limitations in their grant procedures or policies document, i.e., NSF's "Proposal and Award Policies and Procedures Guide." Finally, funding organizations also include final F&A rate authorization in the official award documents by including the rate in the agreement language and/or by attaching the approved budget.

POLICY

It is the policy of the Virginia Institute of Marine Science that sponsored projects will recover the full amount of the Federally Negotiated F&A Rate. This policy allows for two variances:

1. An agency mandated restriction on full F&A Recovery:

The governmental or non-profit sponsor has a published rate lower than the institution's full negotiated rate. To be acceptable, the F&A restriction or lower rate must appear in published guidelines of the agency (request for proposal, request for application, funding announcement, or other published guideline/policy) or be published on their web site or confirmed in writing by their Sponsored Programs office (not a program official). The restriction/lower rate must apply universally to all proposals submitted to the project or agency. It is the Principal Investigator's (PI) responsibility to furnish evidence of the published rate by the time the proposal budget and budget justification are submitted to the Office of Sponsored Programs for institutional review and endorsement.

2. A voluntary reduction/waiver, obtained by following the procedures set forth in this policy:

A three person committee has been established to consider all requests for reduced or waived F&A. The committee is made up of the Associate Dean for Research & Advisory Services, the Chief Administrative & Financial Officer, and the Director of Sponsored Programs. Requests will be forwarded by the PI to the Director of Sponsored Programs, who will coordinate the committee's review and respond to the PI in a timely manner.

PROCEDURE FOR REQUEST OF VOLUNTARY REDUCTION/WAIVER OF F&A

1. The request will come from the lead Principal Investigator, via email to the Director of Sponsored Programs no later than five (5) business days before the proposal is due, and will include:
 - a. The proposed F&A rate to be used.
 - b. An explanation/rationale for why the reduced rate is necessary or justified in relation to accomplishing the work.
 - c. The impact on the budget and/or completion of the project if the full negotiated F&A rate were to be used.
2. The request will be reviewed by the administrative committee for approval of the reduced or waived rate within two business days of submission of the request. This process will be coordinated by the Director of Sponsored Programs.
3. The Director of Sponsored Programs will prepare a response on behalf of the committee indicating approval or denial of the request with an explanation of the decision.

Effective Date: 1 July 2014

VIRGINIA INSTITUTE OF MARINE SCIENCE
REQUEST OF VOLUNTARY REDUCTION/WAIVER OF F&A COSTS

Date: _____

To: Connie Motley, Director of Sponsored Programs

From: (Lead PI) _____

Proposed F&A rate to be used: _____

Amount of F&A costs requested to be reduced/waived: \$_____

Explanation/rational for why the reduced rate is necessary or justified in relation to accomplishing the work:

Explain the impact on the budget and/or completion of the project if the full negotiated F&A rate were to be used:

Approved

Denied

Signature of Director of Sponsored Programs

Date

Number: PPD - 0223
Subject: Accounting for Allowable and Unallowable Direct Costs

Office of Sponsored Programs

DEFINITIONS

Direct costs are expenditures that can be identified and allocated to a specific sponsored program fund. For federal awards and sub-awards, these costs must meet the definitions and requirements outlined in 2 CFR 200, Subpart E which issues guidance on items of costs. To be allowed (2 CFR 200.403 – 200.405) as a direct cost item the following considerations should be given:

Allowable – The goods or services in question must be allowable under university, state and federal criteria and be necessary to the overall completion of the federal award.

Allocable – The goods or services in question are assignable to the specific Federal award and distributed in proportions that are approximated using reasonable methods in accordance with relative benefits received.

Reasonable – The cost goods and services must not exceed that which would be considered prudent under normal circumstances at the time the decision is made.

For non-federal awards, proposed expenditures will be evaluated to ensure compliance with award guidelines.

All direct costs are also reviewed for compliance with university and state regulations. The most important factor in the review process is confirmation that direct expenditures posted to the fund must provide direct benefit to the approved scope of work.

Indirect costs or Facilities and Administrative Costs (F&A) are those costs incurred for a common or joint purpose benefitting more than one cost objective, and not readily assignable to the cost objectives specifically benefitted, without effort disproportionate to the results achieved.

Unallowable Costs are those found during review to be inappropriate for charging to the sponsored project in question.

Disallowed Cost are those that have been posted to a sponsored programs fund/index but are found to be noncompliant with the requirements for an allowable cost.

Cost Transfer is a financial transaction completed, using a journal voucher, to move previously posted expenditures from the incorrect fund/index to an appropriate or correct fund/index in accordance with federal, state and university guidelines.

POLICY

It is the policy of the Virginia Institute of Marine Science that all expenditures against externally sponsored programs will be reviewed and approved by the Principal Investigator (PI) and Sponsored Programs Administrator prior to posting of the charge to the established fund/index. The PI will review for applicability to the subject project. The Administrators will review for compliance with the terms and conditions of the specific award and consider whether the proposed charges are allowable, allocable, and reasonable. The availability of funds will also be confirmed by the Administrator. Further, it is VIMS policy that purchase requests for expenditures identified as unallowable on a grant or contract will be either cancelled, charged to the appropriate sponsored project (if applicable), or charge to an appropriate non-sponsored project fund/index.

Unallowable costs, found after posting, will be transferred immediately to an appropriate non-sponsored project fund/index. In accordance with 2 CFR 200, “Where unallowable costs have been claimed and reimbursed, they will be refunded to the program that reimbursed the unallowable cost using one of the following methods: (a) a cash refund, (b) offset to a subsequent claim, or (c) credits to the amounts charged to individual Federal awards.”

PROCEDURES

Personnel costs

VIMS will use the Banner Human Resources System to properly distribute labor costs against all sponsored project awards. The PI will communicate to the Department Business Administrator the names and amount of effort of all personnel assigned to the sponsored project. The Department Business Administrator will use the Position Funding Worksheet (see attachment A) to schedule personnel effort and the Redistribution of Labor Charges (see attachment B) to make any adjustments in personnel effort to the sponsored project. Approvals will include Department Business Manager, Sponsored Programs Administrator and the Executive Budget Administrator. PI approval is required on Time and Effort Certifications generated quarterly from the Banner Human Resources System certifying the amount of personnel effort was actually spent on the sponsored project award and additional OSP approval is required when a PI indicates a needed change on Effort Certifications.

Purchases (supplies, materials, equipment, etc.)

VIMS will use eVA, the state’s online purchasing tool, to secure appropriate approvals for purchases against all sponsored project awards. Approvals will include the Principal Investigator (or his/her designee) and the assigned Sponsored Programs Administrator. The administrator will review the purchase request for compliance with funding agency guidelines, award terms and conditions, university purchasing requirements and available funding. Once compliance is confirmed, the administrator will electronically approve the request to be routed back to the department purchasing agent.

Travel

VIMS will use a travel authorization form to document the intended travel and secure appropriate approvals for travel on all sponsored research awards. Approvals will included the Principal Investigator (or his/her designee) and the assigned Sponsored Programs Administrator. The administrator will review the travel for compliance with funding agency guidelines, award terms and conditions, University Travel Regulations and available funding. Once compliance is confirmed, the administrator will sign the travel authorization form and return it to the Department Business administrator for processing.

In-house Service Center costs

VIMS in-house service centers (Field Operations, Facilities, Print and Publications, Vehicles, Analytical Services) will provide at least monthly a spreadsheet of charges, for services rendered, against sponsored research funds/indexes. The Administrator will review the spreadsheet for compliance with funding agency guidelines, award terms and conditions, and available funding. Once compliance is confirmed, the administrator will sign and date the spreadsheet and forward to the Institutional Accountant for processing of the Journal Voucher to post the charges to individual indexes.

Indirect or Facilities and Administrative Costs

VIMS will use the negotiated indirect cost rate in effect on the sponsored project award start date, unless a reduced rate was approved by VIMS and the awarding agency. The Sponsored Programs Administrator will verify the correct rate is in Banner, monitor the accuracy of the amounts posted and make any necessary corrections.

Unallowable Costs that have been reimbursed

Unallowable costs that have been reimbursed by the funding agency must be reimbursed to the agency or program by:

Cash Refund – Grant Payment Refund Procedure

Objective: Refund payment received in excess of allowable costs.

1. Correct Billing (If excess payment was received because of incorrect billing, if not, skip to step 2)
 - a. FRAUNAP – un-apply payments to bills that need to be reversed.
 - b. FRRBREV – reverse bills (all bills posted since the bill containing the disallowed cost)
 - c. FRAEVGA – update the billing schedule as necessary
 - d. FRRBILL – re-bill with corrected amounts.
2. Request a payment refund in Research Accounting Module of Banner
 - a. Write a memo to cashier to request refund. (See attachment C for sample memo.)
 - b. The cashier will follow these procedures to process the refund in Banner:
 - i. FRAAREV – using detail code GRFD (Grant Refund) enter negative amount in the payment column.
 - ii. Memo must supply the fund code and it should match the payment fund code in billing information on FRAGRNT.
 - iii. After cashier closes the session and overnight processes run, the refund amount will be transferred to fund 1H1000 (Grant Payment Holding), account 270055 (Grant Payment Holding).
3. Request a refund check be issued to the agency - write a memo to Accounts Payable requesting a refund check be cut and mailed to funding agency. (see attachment B for sample memo.)

Offset to a subsequent claim – reduce future invoice or drawdown

In the event an unallowable cost is discovered and transferred from a grant, subsequent invoices or drawdowns from the grant's funding agency will be adjusted (decreased) by the amount of a previous invoice for that cost.

Credit to the amounts charged to individual federal awards - Grant Payment Transfer Procedure

Objective: Transfer agency payment from one grant to another within same agency.

1. Correct Billing in Banner (if bills were posted in Banner incorrectly due to disallowed costs)
 - a. FRAUNAP – un-apply payments to any bills that need to be reversed.
 - b. FRRBREV – reverse bills (all bills posted since the bill containing the disallowed cost)
 - c. FRAEVGA – update the billing schedule as necessary
 - d. FRRBILL – re-bill with corrected amounts.
2. Request a payment transfer in the Research Accounting Module of Banner
 - a. Write a memo to cashier to request transfer (see attachment C for a sample memo)
 - b. The Cashier will follow these procedures to process the transfer:
 - i. FRAAREV – Cashier will use detail code GTRF (Grant Transfer) and enter negative amount in the payment column of the grant the payment is being transferred from and positive amount in the payment column of the grant the payment is being transferred to.
 - ii. The memo must supply the fund code and it must match the fund code used in billing information on FRAGRNT.
 - iii. After cashier closes session and overnight processes run, the amount will be transferred between the two grants in question.

Effective Date: 1 July, 2015

ATTACHMENT A

BANNER									
POSITION FUNDING WORKSHEET									
NAME:	John Doe			FY BUDGETED SALARY:	50,000.00				
DEPARTMENT:	Biological Sciences			QUARTERLY SALARY:	12,500.00				
POSITION NUMBER:	00011V			MONTHLY SALARY:	4,166.67				
BANNER ID NUMBER:	930000001			BANNER SALARY ACCOUNT:	611230				
FOR DEPARTMENTAL USE ONLY:									
BEGIN DATE	BANNER INDEX		PERCENTAGE	BASED ON END DATE OF:	FUNDED AMOUNT				
1/10/06	123714		100%	1/10/06	\$ 20,833.33				
				TOTAL FUNDED AMOUNT					
REVIEWS:	DEPT. BUDGET MANAGER:								
	SPONSORED PROGRAMS:								
	BUDGET OFFICE:								

This is an institutional budget document, anticipating future payroll distribution for the employee: Formal approval for employee funding is provided by the Personnel Action Form (PAF). Formal approval of charges is provided by the quarterly payroll certification form.

ATTACHMENT B

VIRGINIA INSTITUTE OF MARINE SCIENCE									
REDISTRIBUTION OF LABOR CHARGES									
EMPLOYEE NAME		John Doe			POSITION NUMBER			00011V	
BANNER ID		930000001							
REDISTRIBUTION OF ORIGINAL DISTRIBUTIONS:									
Banner Index	Salary Account	New Pay Period Distributions Center (Payrol ID & Number in Each Column)							
		Payroll: SV 1							
1	123714	611230	100%						
2									
3									
4									
5									
6									
7									
8									
9									
		Total	100%						
FIND AND REPLACE									
Payroll ID & Number:		Find Index:			Replace with Index:				
1	SV 1	122000			123714				
2									
3									
4									
5									
6									
REVIEWS: DEPT. BUDGET MANAGER									
SPONSORED PROGRAMS									
BUDGET OFFICE									
This document adjusts previous payroll posting(s). Formal approval of payroll distribution is provided by the quarterly payroll certification form.									

ATTACHMENT C

June 19, 2015

TO: _____ **Cashier** _____
VIA: _____ **Director of Sponsored Programs** _____
FROM: _____ **Sponsored Programs Administrator** _____
SUBJECT: _____ **Refund of Payment to Agency** _____

Due to the discovery of unallowable costs, VIMS has been overpaid in the amount of \$199.85 for expenditures on grant V717580, index 777581 from the Virginia Marine Resources Commission.

In order to return this money to the agency, please process a refund (GRFD) on the Research Accounting Payment Entry screen (FRAAREV) in Banner.

By separate memo, I will request that Accounts Payable issue a check to the granting agency.

Thank you for your assistance. Please let me know if you have any questions.

ATTACHMENT D

June 19, 2015

TO: Accounts Payable

VIA: Director of Sponsored Programs

FROM: Sponsored Programs Administrator

SUBJECT: Refund of Payment to Agency

VIMS is in receipt of overpayment in the amount of \$199.85 for expenditures on grant V717580, index 777581 from the Virginia Marine Resources Commission.

In order to return this money to the agency, please issue a check to the granting agency:

Agency: Virginia Marine Resources Commission

Banner ID: 930321715

Address: Virginia Marine Resources Commission
Attn: Terri Short
2600 Washington Ave.
Newport News, VA 23607

Please reference: "Contract No. F-104-R-18, Dr. M. Fabrizio - Principal Investigator"

Fund: 1H1000

Account: 270000

Thank you for your assistance. Please let me know if you have any questions.

ATTACHMENT E

June 19, 2015

TO: Cashier

FROM: Sponsored Programs Administrator

VIA: Director of Sponsored Programs

SUBJECT: Grant Payment Transfer

The discovery of unallowable costs on Grant V717460 has caused the overpayment of \$9,803.80 from the National Science Foundation on that grant. I have coordinated payment transfer with the NSF from Grant V717460 to Grant V716950 for reimbursement of allowable costs per 2 CFR 200. In order to correct the cash distribution in Banner, I am requesting that the \$9,803.80 be transferred on FRAAREV as follows:

Grant #V717640/Fund 260400: Detail Code: GTRF; Amount: -\$9,803.80

Grant #V716950/Fund 260400: Detail Code: GTRF; Amount: \$9,803.80

If you have any questions, or need any additional information please give me a call.

ATTACHMENT F - Unallowable Costs on Federal Grant Awards

The following list is for general purposes only. All costs applied to sponsored research funds/indexes should pass the test of being reasonable, allowable, allocable, and consistently treated and **must receive approval from OSP prior to purchase**. Please check with the Office of Sponsored Programs if you have an exception to the rule.

- ❖ Advertising and public relations costs (*except in the case of recruitment for a position necessitated by the grant or public promotion of the grant activities*).
- ❖ Alcoholic beverages
- ❖ Alumni activities
- ❖ Bad debt
- ❖ Capital expenditures (>\$5,000) not pre-approved by the federal awarding agency (*may become allowable through a request submitted to agency*)
- ❖ Commencement and convocation cost
- ❖ Computers and other technological devices, including cell phones, iPads, printers, etc. (*unless included in the proposal budget submitted to the federal agency*)
- ❖ Contingency provisions
- ❖ Contributions or donations, including cash, property, or services
- ❖ Costs incurred in connection with any criminal, civil, or administrative proceedings
- ❖ Entertainment costs
- ❖ Fines and penalties
- ❖ Food costs (*except for study participants or meals while traveling that follow university policy*)
- ❖ Fund raising and investment costs
- ❖ Goods or services for personal use; Housing and personal living expenses
- ❖ Lobbying costs, at any level of government
- ❖ Losses on other sponsored agreements or contracts
- ❖ Memberships and subscriptions (*except when necessitated by the grant*)
- ❖ Office supplies
- ❖ Payroll for university employees not engaged in grant activity
- ❖ Payroll in disproportionate amounts to the work performed on the grant (*example: a researcher working 50% time on a research project may not receive more than 50% of pay from that award*)
- ❖ Postage (*included in F&A, exception can be made if large mailing is necessitated by the grant*)
- ❖ Professional service costs when work can be performed by a qualified university personnel
- ❖ Proposal costs
- ❖ Recruitment and relocation costs for employees not working on the grant (*allowable for grant-funded employees; however, if employee resigns within 12 months of hire, recruitment and relocation charges must be moved off the grant*)
- ❖ Selling and marketing costs
- ❖ Student activity costs (*unless specifically provided for in the grant award*)
- ❖ Telephone charges for local calls (*long distance charges for specifically grant related are allowable*)

Number: PPD-0224
Subject: Office of Sponsored Programs – Effort Reporting*

POLICY:

As a recipient of federal funding, the Virginia Institute of Marine Science (VIMS) is required to comply with the [Office of Management and Budget Circular Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards \(“Uniform Guidance”\)](#). VIMS must maintain a system of internal controls that provides reasonable assurances that personnel charges are accurate, allowable, and properly allocated, supported by confirmed effort statements submitted in a timely manner.

SCOPE – WHO MUST COMPLY:

- All individuals within VIMS who manage sponsored projects, are involved in allocating compensation charges to sponsored projects, have committed effort (whether through direct salary support or cost share) to sponsored projects or are responsible for confirming effort statements.
- All units, faculty, staff and graduate students of VIMS involved in the administration of or compensated efforts toward a sponsored project.
- All individuals involved with the administration and conduct of federally sponsored award activity, including sponsored program administrators, principal investigators and other research personnel must comply with this policy.

PURPOSE:

An effort reporting system must provide records on how individual participants on federally funded sponsored agreements actually spend their time. Compensation charges to sponsored projects are initially made based on anticipated estimates of activity, provided that they reasonably approximate the activity expected to be performed. Uniform Guidance Section §200.430(c) states, “It is recognized that teaching, research, service, and administration are often inextricably intermingled in an academic setting. When recording salaries and wages charged to Federal awards for IHEs (Institutes of Higher Education), a precise assessment of factors that contribute to costs is therefore not always feasible, nor is it expected.”

The charges are evaluated quarterly and modified as necessary based on variances between the estimate and actual effort. All necessary adjustments to compensation charged to sponsored projects must be made such that the final amount charged to the sponsored project reasonably reflects the effort expended and thus is accurate, allowable, and properly allocated.

This effort reporting is subject to federal audit and can be cause for institutional or individual disallowances.

Institutional disallowance can result if:

- The time certification report was certified by an individual other than the employee or someone who has “first hand” knowledge of 100% of the employee’s time
- The time certification report does not encompass all of the activities performed by the employee under the terms of their employment
- The levels of effort reported do not appear reasonable, given the responsibilities of the individual

Individual disallowance can result if:

- The time certification report certified by the individual is found to be falsified
- The levels of effort do not appear reasonable

PROCEDURES:

Funding sheets (Attachment A) are prepared on a quarterly basis to reflect each affected employee’s anticipated time allocation across all activities by Banner indices for the quarter. Redistribution of salary can occur at any time during the quarter (Attachment B).

Time certification reports (Attachment C) also occur on a quarterly basis as an after-the-fact review to ensure that the final salary amounts charged to each sponsored project on the funding sheets is a reasonable reflection of the effort expended.

<u>Reporting Period</u>	<u>Funding Sheets Due</u>	<u>Pre-Review Period</u>	<u>Certification Period</u>
1 st Quarter	Mid-June	Early-Mid Oct	Mid Oct-Mid Nov
2 nd Quarter	Late Sept/Early Oct	Early-Mid Jan	Mid Jan-Mid Feb
3 rd Quarter	Late Dec/Early Jan.	Early April	Mid-April
4 th Quarter	Late March/Early April	Mid-May	Mid July

DEFINITIONS

Quarters:	First (1 st)	June 10-September 24; consisting of 7 pay periods
	Second (2 nd)	September 25-December 24; consisting of 6 pay periods
	Third (3 rd)	December 25-March 24; consisting of 6 pay periods
	Fourth (4 th)	March 25-June 9; consisting of 5 pay periods

Affected Employees: those employees whose compensation is funded by multiple sources of funds over the course of any period, usually due to grants and contracts, but can also be due to private gifts and state funding.

Approval Flow: Funding Sheets – Prior to Beginning of Each Quarter

1. The Departmental Finance Officer works with the Principal Investigator (PI)/Supervisor of affected employees to complete the associated Funding Sheet. Once completed, the Financial Officer signs and submits the form to the Office of Sponsored Programs (OSP).

2. All grant and contract indexes listed on the Funding Sheet are approved by the OSP Administrator who specifically oversees that grant or contract, or his/her designee in OSP.
3. Upon completion of review and approval by OSP, the Funding Sheets are reviewed by the Budget Director in the Office of Finance for accuracy and funding availability on sources other than grants and contracts.
4. Once approved by the Budget Director, the Funding Sheets are submitted VIMS' Accountant and Financial Analyst who enters the funding allocations into the Banner Human Resource System.

Note: Redistributions of affected employee time allocations go through the same process and approval flow, but can occur at any point during the quarter.

Approval Flow: Time Certification Reports – At the End of Each Quarter

1. Departmental Finance Officers distribute the time certification reports to their department/unit's affected employee's immediate supervisor/PI (Certifier), who reviews the time certification report(s) for accuracy and makes changes, if applicable. The time certification report must be signed by either the employee, or his/her immediate supervisor (Certifier). For redistributions made after time certification report(s) are signed and submitted, a justification must be attached and approved by the OSP Director documenting the reason for the change after certification.
2. Time Certification Reports are returned to the Office of Finance by the end of the certification period associated with each quarter. The VIMS Accountant and Financial Analyst makes any changes required and maintains a log of all-time certification reports.

Unaffected Employees: those employees whose compensation is funded by a constant source(s) of funding other than grants or contracts that rarely changes based on activity.

Certifier: The certifier is attesting that he/she has *sufficient technical knowledge and/or is in a position that provides for suitable means of verification that the work was performed*. There are circumstances when it may be appropriate for the certifier to delegate this responsibility to another individual, a designee, associated with the project.

Banner Index: a number assigned within the Banner Financial Accounting System which allows financial activity to be tracked by fund source, organization, and program.

Position Funding Worksheet (Funding Sheets): a form prepared quarterly for each affected employee that distributes 100% of his/her estimated time across all fund sources by Banner Index (Attachment A). This form represents a best estimate of how each employee's time will be spent during the ensuing quarter.

Redistribution of Labor Charges Form (Redistributions): a form prepared for an affected employee used to make changes in time allocations (Attachment B). It can be completed at any time during a quarter and submitted to the same approval flow as the Funding Sheets. If the

redistribution request is made after time certification for that quarter is complete, it must be accompanied by a justification, and approved by the Director of OSP.

Time Certification Report: a form produced from the Banner Human Resource System for affected employees in which the employee, or his/her immediate supervisor, certifies with reasonable assurance the final quarterly distribution of 100% of his/her time allocation is in accordance with activity. Final changes in time allocations can be made directly on this form (Attachment C).

*Note: This policy was modeled after Harvard University's policy on effort reporting.

Rev. April 6, 2020

Attachment A

BANNER
POSITION FUNDING WORKSHEET

NAME: _____ FY BUDGETED SALARY: _____
DEPARTMENT: _____ QUARTERLY SALARY: _____
POSITION NUMBER: _____ MONTHLY SALARY: _____
BANNER ID NUMBER: _____ BANNER SALARY ACCOUNT: _____

BEGIN DATE	BANNER INDEX	PERCENTAGE	FOR DEPARTMENTAL USE ONLY:	
			BASED ON END DATE OF:	FUNDED AMOUNT
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
			TOTAL FUNDED AMOUNT	_____

REVIEWS: DEPT. BUDGET MANAGER: _____
SPONSORED PROGRAMS: _____
BUDGET OFFICE: _____

This is an Institutional budget document, anticipating future payroll distribution for the employee. Formal approval for employee funding is provided by the Personnel Action Form (PAF). Formal approval of charges is provided by the quarterly payroll certification form.

VIRGINIA INSTITUTE OF MARINE SCIENCE
 REDISTRIBUTION OF LABOR CHARGES

EMPLOYEE NAME _____ POSITION NUMBER _____

BANNER ID _____

REDISTRIBUTION OF ORIGINAL DISTRIBUTIONS:

<u>Banner Index</u>	<u>Salary Account</u>	<u>New Pay Period Distributions Center (Payroll ID & Number in Each Column)</u>					
		Payroll: _____					
1	_____	_____	_____	_____	_____	_____	_____
2	_____	_____	_____	_____	_____	_____	_____
3	_____	_____	_____	_____	_____	_____	_____
4	_____	_____	_____	_____	_____	_____	_____
5	_____	_____	_____	_____	_____	_____	_____
6	_____	_____	_____	_____	_____	_____	_____
7	_____	_____	_____	_____	_____	_____	_____
8	_____	_____	_____	_____	_____	_____	_____
9	_____	_____	_____	_____	_____	_____	_____
	Total	_____	_____	_____	_____	_____	_____

FIND AND REPLACE

<u>Payroll ID & Number:</u>	<u>Find Index:</u>	<u>Replace with Index:</u>
1	_____	_____
2	_____	_____
3	_____	_____
4	_____	_____
5	_____	_____
6	_____	_____

REVIEWS: DEPT. BUDGET MANAGER _____
 SPONSORED PROGRAMS _____
 BUDGET OFFICE _____

This document adjusts previous payroll posting(s). Formal approval of payroll distribution is provided by the quarterly payroll certification form.

Virginia Institute of Marine Science

Time Certification Report

20-JAN-16

Reporting Period: September 25, 2015 - December 24, 2015

Payroll # 19 - 24

Dept	Home Orgn	Description	Name	ID	Position	Description	Fund	Orgn	Acct	Prog	Sum	Total Percentage
141103	Biological Sciences				00061V	R&G Departmental Operating	12200	14Y200	611230	110043	4,171.65	35.00%
						Harris Creek, MD - Kelling	775421	14Y100	611230	110043	2,979.74	25.00%
						Lynnhaven River NOW	719251	14Y100	611230	110043	0.30	0.00%
						Oyster Reef Ecosystem	718761	14Y100	611230	110043	2,979.77	25.00%
						IBU Lowell Marine Science Research	716501	14K100	611130	110043	1,787.84	15.00%
											11,919.30	1.00

Your review and signed confirmation serves as the institution's official documentation of the accuracy of your labor allocation for the time period under review.

Employee Signature

Date

Number: PPD - 0303
Subject: Use of "vims-business" and "vims-misc" Group Email

General Principles:

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](#).

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 copies. Users are therefore expected to be considerate of the rights of others and to ensure that their postings are of interest to everyone.

Guidelines:

1. 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.
2. Postings to vims-misc should be of interest to a vast majority of the members of the VIMS community.
3. Postings to vims-business and vims-misc is restricted to vims.edu email accounts. Exceptions can be made for business reasons on a case by case basis (e.g., W&M Cashier).
4. Messages should properly identify the originator by name; the return email address alone is not sufficient.
5. Use of another person's user id, or misrepresenting an originator is not allowed.
6. Anonymous postings are not allowed.
7. Use of either group address for commercial or partisan political purposes, such as circulating advertising for products or for political candidates, is not allowed.
8. Messages that harass or intimidate another person are not allowed.

9. 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.
10. Misuse of the email system is considered a serious offense.
11. Consider the broad range of backgrounds and experiences in our community, and VIMS' goal to welcome, support, engage and celebrate this diversity when posting messages.

Date: July 1, 2009

Rev.: Feb. 19, 2018

Rev.: April 6, 2020

Rev.: September 21, 2020

Number: PPD - 0350
Subject: Establishment of a Technology Security Program at VIMS.

There shall be established an Information Technology Security program at the Virginia Institute of Marine Science (VIMS) that resides within the Department of Information Technology and Networking Services (ITNS). The program will follow industry best practices for Information Technology Security as recommended in the “Code of Practice for Information Security Controls” published by the International Organization for Standardization and the International Electrotechnical Commission (ISO/IEC 27002:2013), appropriately tailored to the specific circumstances of the Institute. The program will also incorporate security requirements of applicable regulations, such as the Family Educational Rights and Privacy Act, Gramm-Leach-Bliley Act, and the Health Insurance Portability and Accountability Act. Professional organizations, such as the national EDUCAUSE association and the Virginia Alliance for Secure Computing and Networking, will serve as resources for additional effective security practices.

There shall also be designated an 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 an 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 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://www.wm.edu/offices/it/security/>.

Date: June 1, 2007
Rev.: July 1, 2009
Rev.: March 2017
Rev.: March 2021

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

The VIMS Data Classification section of this Policy is superseded by the W&M Policy entitled: “[Data Classification Policy](#)”, published on the W&M website.

2. Business Impact Analysis and Risk Assessment

ITNS will maintain a Business Impact Analysis (BIA) and Risk Assessment (RA) for the operation of the network, telephone system and related systems. In 2007 VIMS established a procedure for developing an Institution wide Continuity of Operations Plan under Executive Order 44, Establishing Preparedness Initiatives in State Government (§ 44-146.17 of the Code of Virginia).

The VIMS CIO 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.

3. 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 VIMS CIO and the VIMS Chief Operations Officer (COO).

Date: June 1, 2007

Rev.: July 1, 2009

Rev.: December 22, 2020

Number: PPD - 0374
Subject: Approval for Establishment of Accounts and Use of Technology Resources

This document describes the logical access to Information Technology resources at the Virginia Institute of Marine Science (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 Director of ITNS for the practical purpose of day to day operation.

All persons affiliated with VIMS (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 VIMS Check-in Procedure. Policies and procedures for check-in are outlined in VIMS Policy and Procedure Document PPD – 0015.

In general, ITNS will create an account once an 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 will be provided at check-in with ITNS.

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 Director of ITNS 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 ITNS Director or their designee triggers the account removal process. Accounts may remain active for up to six months 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
Rev.: July 1, 2009
Rev.: April 6, 2020

Number: PPD - 0375
Subject: Account Password Policies and Procedures.

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 data and system security due to the use of weak passwords, automatic password cracking programs, and the activities of malicious hackers, spammers, and phishing schemes. This policy provides guidance and minimum standards for 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 domain 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 both length and complexity. The following policies are adopted by ITNS and required for all passwords:

Password Standards

Individual Responsibilities

Passwords for newly activated VIMS user accounts must be created in such a manner to ensure that only the person who has been assigned the account knows the password.

Passwords should be a minimum of 10 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 uppercase and lowercase letters and numeric and certain punctuation characters.

The following password complexity rules are enforced for all VIMS domain user accounts:

1. Passwords must be a minimum of 10 characters in length.
2. Passwords must contain at least one uppercase character, at least one lowercase character, and at least one number or symbol.
3. Passwords must not contain the user's account name or full name, or be something simple like "Password123".

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 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 or compromised in any way. In such cases, 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:

System Administrator and Service Passwords

The password or passphrase is at least ten 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

Current domain password group policy temporarily locks AD account for 30 minutes after 6 failed authentication attempts within a 30 minute timeframe.

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 (ISO) 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 (ISO).

Date: June 20, 2008

Rev.: July 1, 2009

Rev.: November 2, 2020

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. Card and key access is limited to those requiring access, with a record of VIMS personnel with card access in the CBORD TribeCard system, and a list of those holding keys maintained by VIMS Department of Facilities Management under the campus wide physical security system.

- 1 Main Data Center and NOC (Network Operations Center, Davis Hall, Room 110)
- 2 Auxiliary Data Center and NOC (Watermen’s Hall, Room 215)
- 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 Inventory System maintain by the W&M Fixed Assets Management Office in accordance with established College policy, <https://www.wm.edu/offices/financialoperations/propertycontrol/index.php>.

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 by VIMS ITNS regardless of dollar value.

Date: June 1, 2007
Rev: July 1, 2009
Rev.: September 21, 2020

**Policy and Procedure Document
Virginia Institute of Marine Science
William & Mary**



Number: PPD - 0383
Subject: Information Technology Security Training Program

Recognizing that strong Information Technology Security starts with well informed end-users, all VIMS Faculty, Staff and Students will be required to take an Information Technology Security training course. The training will be required within two months of check-in and renewal required if content changes, but no less than every two years.

The online training will be offered through the Cornerstone system (<https://cornerstone.wm.edu>).

Course content will be reviewed annually in June along with this policy.

Date: June 1, 2007
Rev.: July 1, 2009
Rev.: March, 2017
Rev.: September 21, 2020

**Policy and Procedure Document
Virginia Institute of Marine Science
William & Mary**



Number: PPD - 0384
Subject: Acceptable Use Policy for Faculty, Staff, and Guest Users.

All users of information technology shall abide by the [Acceptable Use Policies](#), as published on the ITNS Website:

Date: June 1, 2007
Rev.: July 1, 2009
Rev.: September 21, 2020

Number: PPD - 0387
Subject: Information Technology Security System Monitoring

Introduction

Computers, servers and network devices generate logs that are essential to the operations of the infrastructure that makes up the core of the data services provided to VIMS by ITNS. They provide a vital mechanism for tracking and reporting for review, diagnostic and security functions. Therefore, ITNS must maintain accurate and comprehensive logs of mission-critical servers, computers and equipment for both operational and reporting purposes.

Scope

This policy applies to all ITNS staff that support and maintain core infrastructure services.

Policy

1. ITNS will maintain a centralized system of secure log management, through which authorized users may access and review collected log data.
2. Access to all secured systems at VIMS through centrally managed directory system must be logged for security and audit purposes.
3. ITNS will designate “mission critical” equipment, physical servers, virtual servers and computers. These mission critical devices must report logs to the centralized log management system. Additional non-critical systems and equipment may also report to the centralized log management system for diagnostic and troubleshooting purposes.
4. Access to logs will be provided to W&M InfoSec personnel as appropriate to assist in response to incidents per VIMS PPD-0388 “Security Incident Reporting Procedures”.
5. Logs will be retained for a minimum of 30 days, but as long as 1 year depending on priority for risk assessment and abatement.

Roles & Responsibilities

1. Infrastructure Services Architects (ISAs), as assigned at the discretion of the CIO, are responsible for developing and maintaining the centralized log management system. The assigned ISAs will be responsible for all necessary updates, upgrades, maintenance and troubleshooting of the log system’s functionality.
2. The designated Enterprise Operations Specialist for ITNS shall be responsible for operational monitoring of log systems for VIMS. This includes ongoing monitoring of

event logs, acting on security breach events as necessary, and reporting security breach events to the designated VIMS CIO.

3. Authorized Users are designated as individuals whose areas of responsibilities may require access to the centralized log management system for diagnostic and troubleshooting purposes. Authorized Users have limited access within the log system, allowing the review of logs but with no access to make changes.

Management Oversight and Monitoring

1. The VIMS CIO will review log reports generated on a weekly basis and analyze for potential security and operational risks.
2. Log reports will also be generated periodically and sent to the W&M CISO for risk review.

Date: June 20, 2008

Rev.: December 22, 2020

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. This policy is coordinated with the William & Mary IT Security breach policy, as referenced below.

IT Security Response Team

There is established an IT Security Response Team that consists of the VIMS 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.

The VIMS Incident Response Team will evaluate incidents and take within the following W&M Incident Response guidelines:

	Scope	Impact	Severity	Response
High	100 or more individuals affected	Affects a critical system supporting essential functions of the Institute or University	Breach of sensitive data or evidence of a significant system compromise	See W&M InfoSec procedures at the link below.

Medium	10 < 100 individuals affected	Affects an isolated function of the University but does not disrupt essential operations	Breach of protected data or evidence of a compromised account	See W&M InfoSec procedures at the link below
Low	Less than 10 individuals affected	Affects a non-critical function of the University and does not disrupt any operations	No breach of sensitive protected data or evidence of a compromised account	For 'Low' level incident, the VIMS Information Security Team will manage the incident

Action taken by the VIMS Response Team within the above guidelines shall be consistent with William & Mary (W&M) incident reporting and disciplinary policies as defined in the W&M 'Information Security Incident Reporting and Response Policy and Procedures' page, located here:

<https://www.wm.edu/offices/it/about/policiesstandards/security/incidentreporting/index.php>

Date: November 1, 2007
Rev.: July 1, 2009
Rev.: May 7, 2010
Rev.: September 24, 2020

Number: PPD - 0389
Subject: Information Technology Project Management

Introduction

The Information Technology and Network Services unit (ITNS) is committed to continuously improving the delivery of information technology (IT) solutions within budget, on schedule, within scope and in such a way as to best contribute to accomplishing the Institute's strategic mission. This policy furthers that goal by establishing the common and consistent application of project management best practices in the management of ITNS projects. A uniform project management framework promotes consistency and better control of ITNS projects, thereby reducing risks and increasing project successes.

Scope

This policy applies to all ITNS projects defined as ‘mission critical’ as determined by the VIMS CIO and/or VIMS Senior Leadership. The policy and procedures outlined herein are applicable to staff as well as customers of ITNS projects and system owners.

Policy

1. All ITNS projects within scope will be approved by the VIMS CIO and/or VIMS Senior Leadership prior to substantial work beginning on the Planning Phase outlined in the table below.
2. Project teams will consist of a Project Manager (PM) within ITNS and a System Owner (SO) representing the customer. Projects deemed to be internal to ITNS only as part of a technology initiative will consist of a PM and the CIO.
3. ITNS will maintain a centralized Project Management Tracking System (PMTS) consisting of but not limited to project milestones, including scope, project plan, meeting notes and correspondences for maintaining objectives and tracking progress.
4. A project security role will be identified for each project to ensure security throughout the phases of the project. Project elements will include an estimate of risk at each step (i.e., a Risk Register), followed up by an assessment and notes of any mitigating actions.
5. Access to the PMTS will be granted to all project participants within ITNS at the level appropriate to their involvement, as determined by the PM and SO. The SO will be granted access as needed but not by default.
6. Projects not designated “mission critical” may also be tracked in the PMTS if desired.
7. It will be the policy of VIMS ITNS Project Management to practice the principle of least privilege during the development, testing and production phases of ITNS projects. Duties

will be separated to the extent possible to mitigate risks and will be defined within the project plan and execution phases as described in the Roles & Responsibilities section, below.

Project Management Methodology

This section describes the project management processes that ITNS projects will follow. The methodology is closely aligned with the lifecycle an information technology project typically undergoes. The four phases of a project's lifecycle are the Proposal phase, the Planning phase, the Executing/Controlling phase, and the Closing phase. The phases are distinct and sequential but can have significant overlap and reiteration during an actual project's lifecycle. The table below presents each project phase along with the key activities, milestones, and deliverable required. These will be documented within the VIMS PMTS.

Project Phase	Key Activities & Milestones	Deliverable
Project Initiation	<ul style="list-style-type: none"> ·Develop project business case ·Identify key stakeholders ·Project team meets to set expectations, define scope, and develop proposal ·Initial complexity assessment ·Proposal review by PM/CIO 	Project Proposal
Project Planning	<ul style="list-style-type: none"> ·Refine scope of project/product ·Perform system and data security assessment ·Finalize milestones and deliverables ·Develop schedule ·Develop budget ·Plan communications strategy ·Develop plan for and secure project resources ·Develop post project support plan ·Submit Project Plan to CIO for approval 	Project Plan
Project Execution/Control	<ul style="list-style-type: none"> ·Execute project tasks ·Monitor project progress ·Hold status meetings ·Document and manage any change requests ·Provide CIO with critical status updates 	As identified in the Project Plan

Project Closeout	<ul style="list-style-type: none"> · Formal acceptance of final deliverable(s) from customer · Document lessons learned · Close out any contracts (if necessary) · Archive relevant documents within PMST 	Project documentation is finalized when lessons learned and other notes have been documented in project closeout report
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Roles & Responsibilities

Authorized ITNS staff serving in roles as system architects, programmers, contract managers or system builders are designated as individuals whose areas of responsibilities may require access to the Information Technology systems and assets as needed. These roles and responsibilities will be outlined in the project plan and execution phases described above.

Established: September 24, 2020

Reviewed: December 22, 2020

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**Policy and Procedure Document
Virginia Institute of Marine Science
William & Mary**



Number: PPD - 0401
Subject: Sport Fishing from Institute Piers and Docks

Recreational fishing or crabbing from the piers, docks, or wharves at the Gloucester Point Campus of the Virginia Institute of Marine Science (VIMS) is forbidden.

Recreational fishing or crabbing from the piers, docks, or wharves at the Eastern Shore Campus of VIMS 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 Associate Dean of Research and Advisory Services. Copies of the written permission should be forwarded to the [Safety and Security Manager](#) with Facilities Management.

Date: July 1, 2009
Rev.: March 19, 2021

**Policy and Procedure Document
Virginia Institute of Marine Science
William & Mary**



Number: PPD - 0402
Subject: Maintenance Problems

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 THE PROBLEM IS NOT ESPECIALLY URGENT, such as replacing a light bulb, a work order should be submitted through the [FAMIS portal](#) located on the FM home page. This 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, the user that submitted the work request will receive confirmation that the item has been addressed.

IF IT IS A CRITICAL PROBLEM, contact Facilities Management at ext. 7300. This will expedite the appropriate FM staff to address the issue at hand. A follow up work order should be entered through FAMIS at the link above. This will ensure that the task can be tracked and followed up. Again, when the problem is resolved, Facilities Management will send an email to the user that submitted the work request.

Date: November 10, 2010
Rev: March 19, 2021

Number: PPD - 0404
Subject: Collisions and Incidents Involving State Vehicles

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 Virginia Institute of Marine Science (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.

1. 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.
2. Notify the Vehicle Management Control Center (VMCC) at 1-866-857-6866.
 - The VMCC will contact the Virginia State Police (VSP). All Accidents involving a state vehicle are required to be investigated by the VSP.
 - The VMCC will dispatch a towing service to pick up your vehicle if it is not drivable.
 - If incident is local to VIMS, Facilities Management may be able to help.
3. If the collision or incident occurs in areas under the jurisdiction of any Virginia university or college, notify the Campus Police for that institution.
4. Complete the Accident Forms found in the “If You Have An Accident” envelope and contact the [VIMS Risk Manager](#).
5. Inform the VIMS Department of Facilities Management as soon as possible. The Staff in Facilities Management may be able to provide assistance and can coordinate impacted reservations for impacted pool vehicles.
6. Upon return to VIMS, notify your supervisor and department head.
7. 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 Dean and Director of VIMS.

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 VIMS or the State, they 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 VIMS, at the discretion of the Dean and Director of VIMS, 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 Dean and Director of VIMS 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.: March 19, 2021

**Policy and Procedure Document
Virginia Institute of Marine Science
William & Mary**



Number: PPD - 0405
Subject: Pets on Campus

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

Number: PPD - 0406
Subject: Security on Campus

The purpose of this document is to describe procedures for security on the campus of the Virginia Institute of Marine Science (VIMS) and to clearly define the responsibilities of all 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 VIMS.

Security Hours

VIMS provides un-armed security coverage from 4:00 pm to 7:00 am weekdays and 24-hour coverage on weekends, holidays, and other non-routine closings. Buildings are normally locked between 5:00 pm and 6:30 pm by the guard on duty during the weekdays. Buildings are unlocked by the guard on duty starting at 6:00 am on weekdays.

Contact Security

Security may be reached by dialing the campus extension **7300**. This extension is monitored 24 hours, 7 days a week. Assistance will be provided for services such as walking you to your car, (un)locking buildings and rooms for special events, and investigating incidents (theft, property damage, etc.). Advanced email requests for assistance may be submitted to the [Security Office](#).

Emergencies requiring Police, Medical or Fire Response

In case of an emergency, call **911**. Gloucester County emergency services will respond. You may also use one of the "Blue Light" phones located throughout campus for emergencies.

Emergencies and situations that DO NOT require Police, Medical or Fire Response

Urgent matters, not requiring an outside response should be directed to Facilities Management/Security at extension **7300**.

Report an Incident

To report an incident of misconduct, loss of property, or other concerns, click on the link located at the bottom of the [security webpage](#) to send a confidential report to the Executive Director of Facilities Management and Chief Operations Officer for investigation.

Date: July 1, 2009
Rev: March 18, 2021

**Policy and Procedure Document
Virginia Institute of Marine Science
William & Mary**



Number: PPD - 0408
Subject: Policy and Procedure for Purchasing or Leasing Motor Vehicles

In order to assure that the acquisition of a motor vehicle does not overly tax the ability of the Virginia Institute of Marine Science (VIMS) 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 Executive Director of Facilities Management, and the Chief Financial Officer. 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.

A written request for approval to purchase or lease a motor vehicle shall be submitted to the Department of Facilities Management or the Office of Finance. This request and approval to purchase or lease is in addition to the routine purchase requests and other authorizations to expend VIMS funds.

In addition to providing satisfactory justification for the acquisition, it will be necessary to make arrangements with the Executive 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
Rev: March 19, 2021

**Policy and Procedure Document
Virginia Institute of Marine Science
William & Mary**



Number: PPD – 0409 (previously PPD-0031)
Subject: Motor Vehicle Use

The [Vehicle Use Policy](#) of William & Mary includes vehicle use at the Virginia Institute of Marine Science (VIMS). The text below specifies minor differences that are appropriate for implementation of this policy at VIMS.

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

In section III A 16, at VIMS, vehicle users must complete the training program administered by the [Marine Operations](#) Department 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 [VIMS Risk Manager](#). This is in addition to reporting the incident to the State Police.

Also refer to VIMS Policy and Procedure Document 0404, Collisions and Incidents Involving State Vehicles.

Questions about the general W&M policy should be referred to the Risk Manager on the Williamsburg campus.

Date: October 1, 2009
Rev.: July 25, 2011
Rev.: March 12, 2021

**Policy and Procedure Document
Virginia Institute of Marine Science
William & Mary**



Number: PPD - 0500
Subject: Hazard Communication Standard Program/Chemical Waste Management

This document establishes the Hazard Communication Standard Program/Chemical Waste Management as published and occasionally updated and revised by the Office of Safety and Environmental Programs at the Virginia Institute of Marine Science (VIMS).

[The Hazard Communication Standard Program](#), as updated, is available on the [Office of Safety and Environmental Programs](#) website.

Date: July 1, 2009

**Policy and Procedure Document
Virginia Institute of Marine Science
William & Mary**



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 Office of Safety and Environmental Programs at the Virginia Institute of Marine Science (VIMS).

[The Chemical Hygiene Plan](#) for VIMS, as updated, is available on the [Office of Safety and Environmental Programs](#) website.

Date: July 1, 2009

**Policy and Procedure Document
Virginia Institute of Marine Science
William & Mary**



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 Office of Safety and Environmental Programs at the Virginia Institute of Marine Science.

The [Hazardous Materials Emergency Response and Security Plan](#), as updated, is available on the [Office of Safety and Environmental Programs](#) website.

Date: July 1, 2009

**Policy and Procedure Document
Virginia Institute of Marine Science
William & Mary**



Number: PPD - 0503
Subject: Fire Prevention Plan for VIMS

This document establishes the Fire Prevention Plan for the Virginia Institute of Marine Science, (VIMS) as published and occasionally updated and revised by the Office of Safety and Environmental Programs.

The [Fire Protection Plan](#) for VIMS is available on the [Office of Safety and Environmental Program](#) website.

Date: July 1, 2009

**Policy and Procedure Document
Virginia Institute of Marine Science
William & Mary**



Number: PPD - 0504
Subject: Occupational Safety and Health Plan

This document establishes the Occupational Safety and Health Plan for the Virginia Institute of Marine Science (VIMS) as published and occasionally updated and revised by the Office of Safety and Environmental Programs.

The [Occupational Safety and Health Plan](#) is available on the [Office of Safety and Environmental Programs](#) website.

Date: July 1, 2009

**Policy and Procedure Document
Virginia Institute of Marine Science
William & Mary**



Number: PPD - 0505
Subject: Respiratory Protection Plan

This document establishes the Respiratory Protection Plan for the Virginia Institute of Marine Science (VIMS) as published and occasionally updated and revised by the Office of Safety and Environmental Programs.

The [Respiratory Protection Plan](#) is available on the [Office of Safety and Environmental Programs](#) website.

Date: July 1, 2009

**Policy and Procedure Document
Virginia Institute of Marine Science
William & Mary**



Number: PPD - 0506
Subject: Radiation Safety Plan

This document establishes the Radiation Safety Plan for the Virginia Institute of Marine Science (VIMS) as published and occasionally updated and revised by the Office of Safety and Environmental Programs.

The [Radiation Safety Plan](#) is available on the [Office of Safety and Environmental Programs](#) website

Date: July 1, 2009

**Policy and Procedure Document
Virginia Institute of Marine Science
William & Mary**



Number: PPD - 0509
Subject: Workers' Compensation Claims Program

The administration of the Workers' Compensation Claims Program is assigned to the Office of the Dean and Director with back-up provided by 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, William & Mary procedures.

The [Workers' Compensation Claims Program](#) information is available on the [Office of Safety and Environmental Programs](#) website.

Date: July 1, 2009
Rev.: March 2017

**Policy and Procedure Document
Virginia Institute of Marine Science
William & Mary**



Number: PPD - 0510
Subject: Severe Storm Preparedness / Response Information

This document establishes the Severe Storm Preparedness / Response Information for the Virginia Institute of Marine Science (VIMS) as published and occasionally updated and revised by the Office of Safety and Environmental Programs.

The [Severe Storm Preparedness/Response Information](#) is available on the [Office of Safety and Environmental Programs](#) website.

Date: July 1, 2009

**Policy and Procedure Document
Virginia Institute of Marine Science
William & Mary**



Number: PPD - 0512
Subject: Safety of Visitors

This document establishes the Safety of Visitors information for the Virginia Institute of Marine Science (VIMS) as published and occasionally updated and revised by the Office of Safety and Environmental Programs.

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.

The [Safety of Visitors](#) information is available on the [Office of Safety and Environmental Programs](#) website.

Date: July 1, 2009

Number: PPD - 0513
Subject: Teenagers in Laboratories

This document establishes the Teenagers in Laboratories information as published and occasionally updated and revised for the Virginia Institute of Marine Science (VIMS) by the Office of Safety and Environmental Programs. 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 VIMS, 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.

[Teenagers in Laboratories information](#), is partially reproduced below.

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

**Policy and Procedure Document
Virginia Institute of Marine Science
William & Mary**



Number: PPD - 0602
Subject: Personnel Procedures for Graduate Assistants

The Associate Dean of Academic 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 Finance Officers and Business Managers and the Office of Sponsored Programs, as appropriate.

Date: July 1, 2009
Rev.: July 9, 2012

Number: PPD - 0603
Subject: Limits on Workshop Hours

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 Office of the Associate Dean of Academic Studies.

International students in valid F-1 or J-1 status are not eligible for workshop hours during the fall and spring semesters. According to the Reves Center, they are, however, eligible “during Winter Break, Spring Break and Summer Break.”

Date: July 1, 2009
Rev.: July 12, 2012
Rev.: March 16, 2021

**Policy and Procedure Document
Virginia Institute of Marine Science
William & Mary**



Number: PPD - 0604
Subject: Graduate Student Assistantships

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 Associate Dean of Academic 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 Associate Dean of Academic 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
Rev.: July 9, 2012

Number: PPD - 0605
Subject: Leave Policies for Students

Annual and Holiday Leave for Students on Assistantships

In recognition of their contributions to Virginia Institute of Marine Science's (VIMS) research, education and advisory missions, students holding graduate assistantships are allowed annual leave consistent with the annual [leave policy](#) for university classified and operational employees, as described on the William & Mary (W&M) website. Students holding 20 hour per week appointments (100% of full-time graduate employment) are allowed up to 6 days (24 hours) of vacation leave annually. Annual leave is pro-rated for those who hold appointments of less than 20 hours per week. Graduate assistants will also receive scheduled [university holidays](#) as published by W&M; (currently 12 days annually) if the holiday coincides with the period of the assistantship appointment. However, teaching assistants are expected to fulfill any assigned responsibilities when classes are in session on a scheduled W&M holiday. In addition, if an assistantship supervisor¹ requires the student to perform assistantship duties (e.g., animal care, critical ongoing research projects) on a W&M [holiday](#), that expectation must be communicated to the student as soon as possible (e.g., a month or more in advance) and provisions agreeable to the student must be made for equivalent time off on a non-holiday weekday. Similarly, if a graduate student wishes to engage in assistantship activities on a W&M holiday, with permission from the student's supervisor, an alternate leave day should be determined. Days on which classes are not in session but the university is open (e.g., Fall and Spring break, January intersession) are not automatic holidays for graduate students holding assistantships.

Time away requires planning to ensure continuity of research, teaching and other responsibilities of an assistantship appointment. VIMS and the School of Marine Science (SMS) recognize the importance of time off to health and wellbeing. Supervisors should plan for and encourage graduate assistants to take annual leave and holiday time, accommodate student preferences whenever possible, and adjust work expectations to allow for time off. A graduate student seeking to take leave time away from assistantship duties should make the request to the supervisor with as much advanced notice as possible (e.g., a month or more in advance) to allow the supervisor to plan for adequate coverage of responsibilities. While hours worked for assistantships are not reported to VIMS or W&M, the supervisor is expected to track leave. VIMS allows students on assistantships to accrue annual leave from year to year to the extent of 1.5 times the current annual allowance. The supervisor is responsible for maintaining a record of

¹ This is usually the advisor for Research Assistants, or the instructor for Teaching Assistants. When leave is accrued for a Teaching Assistantship, coordination with the advisor will be required. Good planning will minimize confusion.

annual leave used by the student. A student may take additional time as long as they have arranged with the supervisor to make up work hours missed.

Although there is no formal personal and sick leave policy for graduate students on assistantships, supervisors are expected to provide a reasonable amount of sick leave and work to accommodate student requests for other types of personal leave (e.g., religious holidays). It is the student's responsibility to inform the advisor or supervisor of the need for sick or personal leave. In order to determine the best course of action for a student's academic progress, the need for sick leave of more than a month must be discussed with the Associate Dean of Academic Studies.

Other Types of Leave

Students who are currently on assistantships and who plan to spend more than a month off campus (e.g., for research), students who wish to transition to part-time ("off-site") student status for employment or other reasons, or any student who wishes to take an extended leave of absence from the academic program for medical or other reasons, must have the permission of the Associate Dean of Academic Studies. Various types of leave affect eligibility status for assistantships and other types of financial support. The student should contact the Office of Academic Studies for further details.

Travel

Graduate students who are planning to travel on VIMS' business must obtain the appropriate authorization before embarking on the trip. See Policy and Procedure Document 0017 and contact the department finance officer/business manager for further information.

Date: July 1, 2009

Rev.: July 12, 2012

November 10, 2020

Number: PPD - 0606
Subject: Technology Classroom Reservation Procedure

BACKGROUND: The Technology Classroom was redesigned and upgraded during summer 2014. Formerly known as the “student lab” or “user’s room,” Watermen’s Hall 204 now supports “next generation” instruction in courses that require advanced computing, simulation, GIS, modeling and statistics for the graduate and undergraduate degree programs.

To meet the needs of the wider Virginia Institute of Marine Science (VIMS) community, computers located in Hargis Library are available for all users who need to access email or the internet. Additional software packages installed on these computers provide access to the most commonly used as well as some advanced software packages. In addition, laptops with advanced software are available to VIMS users through Hargis Library (daily use only) and Information Technology and Network Services (ITNS) via the Events Management System([EMS](#)). Two new group study/conference rooms in the library, equipped with projection screens and wireless systems that allow for screen-sharing, are also available to VIMS users and may be scheduled through the EMS.

Regularly scheduled classes will have card swipe access to the Technology Classroom. VIMS faculty, staff or students who wish to use the Technology Classroom outside of regularly scheduled School of Marine Science (SMS) classes, such as for a workshop or to host an education program, should make a request through the Office of Academic Studies following the guidelines below. Given the nature of the facility, we are unable to accommodate groups that are not hosted by VIMS-sponsored personnel.

GUIDELINES:

1. Graduate and Undergraduate Classes – Scheduling for SMS graduate and W&M undergraduate courses in the Technology Classroom is done by the VIMS Registrar. Once department chairs have provided the Registrar with a list of courses for the semester and faculty are notified, individual faculty should make requests to use the Technology Classroom for a course and for lab sessions directly to the Registrar. The Registrar will provide course rosters to ITNS two weeks before classes begin. Additional sessions for course assignments or lab sessions may be reserved by contacting the VIMS Registrar (x7106) or Graduate Program Administrative Assistant (x7105).
2. Internal VIMS Programs – Requests for use of the room by VIMS personnel should be submitted to the Office of Academic Studies no later than two (2) weeks before the program start date using the [Technology Classroom Request Form](#) located on the [VIMS Forms](#) page. Once ITNS and Academic Studies have approved the reservation, the

Graduate Program Business Manager will make the reservation and send confirmation within 48 hours of receipt of the request. When submitting a request, a potential user will be required to identify VIMS personnel who will supervise external users. Please recognize that the user group assumes liability for any damage to hardware, software or other equipment in the classroom.

Date: June 23, 2015

Number: PPD - 0607
Subject: Use of Tuition Waivers and Stipend Rates for Fellowship Proposals

This policy establishes stipend rates and usage of tuition waivers for graduate students who are seeking external fellowships¹ from sponsoring agencies (state, federal, or private organizations).

- When a doctoral student, or Master's student with an Academic Status and Degrees Committee approved "intent to bypass" form, who was previously awarded a Provost's Distinguished Fellowship, i.e. a full tuition waiver, applies for an external fellowship, the student may retain the waiver for the duration awarded by the Associate Dean of Academic Studies. The student will not be required to seek tuition funding for the period covered by the waiver. The waiver, which is the equivalent of in-state tuition and fees for the semesters granted, including summer sessions, may be used as match for the fellowship proposal.

Having a provost tuition waiver may afford flexibility in the proposal budget to an external agency or other funding organization. In the following situations, graduate students applying for external fellowships may propose/request stipend rates that exceed the School of Marine Science (SMS) base stipend rates:

- For students applying for fellowship awards whose terms and conditions dictate a stipend rate higher than the SMS base stipend rates, the rate shall be that set by the sponsor.
- For doctoral students, or Master's students with an Academic Status and Degrees Committee approved "intent to bypass" form, the allowable stipend for the fellowship proposal may exceed the SMS base stipend rate but will be capped at the stipend rate for the National Science Foundation (NSF) Graduate Research Fellowship at the time the proposal is submitted.
- For Master's students without an approved "intent to bypass" form, the allowable stipend for the fellowship proposal may exceed the SMS base stipend rate (at the time the proposal is submitted) by up to \$5,000 annually.

For this policy, recognized fellowships include, but are not limited to:

- National Sea Grant/NOAA Fisheries Graduate Fellowship program – Population and Ecosystem Dynamics; Marine Resource Economics
- Virginia Sea Grant Graduate Fellowship
- Environmental Protection Agency (EPA) STAR Fellowship (currently inactive) – the stipend

rate is set by EPA

- NSF Graduate Research Fellowship – the stipend rate is set by the NSF
- Other fellowships approved by the Associate Dean of Academic Studies

Date: Approved by Academic Council and Associate Dean of Academic Studies on March 15, 2017

Rev.: March 12, 2021

Number: PPD - 0608
Subject: Visiting Students

Visiting students interact with faculty, students, and staff while involved in research yet are not paid employees of the Virginia Institute of Marine Science (VIMS) or William & Mary (W&M). Because the active presence of visiting students can be beneficial both to VIMS and to the visitor, VIMS encourages and supports such activity as long as space and facilities are available.

Although visiting students 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 student. To that end, each visiting student 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 Student Status form and will guide the visitor through the initial introduction to the Institute's personnel and structure. Persons seeking to host a visiting student must obtain permission of the Department Chair, who is responsible for the allocation of space and other resources, and from the Associate Dean of Academic Studies who will maintain records of visiting students. The form for Application for Visiting Student Status is appended to this document. By its nature as a temporary position, individual status as a visiting student usually continues for a year or less.

Status as a visiting student carries no rights and privileges as a VIMS student. Status as a visiting student may be terminated at any time and for any reason by the Associate Dean of Academic Studies.

Visiting students must sign a [Liability Release Form](#) and go through an abbreviated sign-in procedure including basic safety and right-to-know training. The Volunteer/Visiting Scientist [Check-in/out Sheet](#) may be obtained in Office of Safety and Environmental Programs. If the visiting student 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 student will use only a wireless connection to the Institute's computer network and will function through the "guest" login access, the visitor 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. Upon completion of their time at VIMS, a visiting student will document notification of his/her ensuing departure with appropriate signatures on the Volunteer/Visiting Scientist Check in/out Sheet.

The host of an international student should seek guidance from the [Reves Center](#) regarding appropriate visa and immigration documents well in advance, at a minimum, three months prior to the anticipated arrival of a visiting student.

For more information on visiting student status policy, refer to PPD-0608.

Note for International Students: The host of an international student should seek guidance from the Reves Center regarding appropriate visa and immigration documents well in advance, at a minimum, **three months prior to the anticipated arrival** of a visiting student.

VISITING STUDENT INFORMATION				
STUDENT LAST NAME	STUDENT FIRST NAME	M.I.	BANNER ID (IF AVAILABLE)	STUDENT LEVEL Select
PERMANENT MAILING ADDRESS			STUDENT EMAIL ADDRESS	
HOME INSTITUTION & DEPARTMENT			HOME COUNTRY (INTERNATIONAL STUDENTS ONLY)	
FIELD OF RESEARCH				
LOCAL CONTACT INFORMATION				
EXPECTED ARRIVAL DATE		EXPECTED DEPARTURE DATE		
LOCAL RESIDENCE ADDRESS			LOCAL PHONE NUMBER	
EMERGENCY CONTACT INFORMATION				
NAME OF EMERGENCY CONTACT		PHONE NUMBER	ALTERNATE PHONE NUMBER	
MAILING ADDRESS			EMAIL ADDRESS	

Visiting Student Signature

Date

FACULTY HOST INFORMATION			
HOST LAST NAME	HOST FIRST NAME	HOST M.I.	HOST DEPARTMENT AT VIMS
CO-HOST LAST NAME (IF APPLICABLE)	CO-HOST FIRST NAME	CO-HOST M.I.	CO-HOST DEPARTMENT AT VIMS

- If the visiting student is international, the host must seek guidance well in advance from the Reves Center in order for the student to obtain appropriate visa and immigration status. **Have you already contacted the Reves Center?** Yes No
- If the visiting student requires either a VIMS email address or a wired/wireless computer connection, the host must make appropriate arrangements with ITNS. **Have you already contacted ITNS?** Yes No
- Visiting students must sign a Liability Release Form and go through an abbreviated sign-in procedure including basic safety and right-to-know training. The Volunteer/Visiting Scientist check-in and check-out form may be obtained through the Office of Safety and Environmental Programs.

Nature of proposed activities while a visiting student at VIMS, including applicable courses or workshops (if any) in which the visiting student plans to participate: _____

Facilities and resources that it is anticipated VIMS will provide: _____

Arrangements (if any) for external funding: _____

Host Approval:

I agree to serve as Host (primary point of contact) or Co-Host for the above-named visiting student.

HOST NAME	SIGNATURE	DATE
CO-HOST NAME	SIGNATURE	DATE

Department Approval:

I have reviewed this application for the above-named visiting student including the estimation of resources that will be required and recommend the award of that status as described above.

HOST DEPARTMENT CHAIR NAME	SIGNATURE	DATE
CO-HOST DEPARTMENT CHAIR NAME (IF DIFFERENT)	SIGNATURE	DATE

PLEASE RETURN THIS FORM WITH ORIGINAL SIGNATURES TO THE SMS REGISTRAR, WATERMEN'S HALL ROOM 253
OR SUBMIT FORM ELECTRONICALLY TO REGISTRAR@VIMS.EDU.

Associate Dean of Academic Studies Approval:

I approve the award of visiting student status as described above.

SIGNATURE	DATE
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Number: PPD - 0701
 Subject: Borrowing Library Materials

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 William & Mary (W&M) ID 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. Superseded editions of maps and charts are available only to VIMS faculty, students and staff.

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

Loan Periods

Item	VIMS Students	VIMS Faculty	VIMS Staff	W&M Students	W&M Faculty	W&M Staff
Books	Semester 5 Renewals	365 Days 1 Renewal	1 Semester 5 Renewals	30 Days 1 Renewal	365 Days 1 Renewal	1 Semester 1 Renewal
Theses & Dissertations	Semester 5 Renewals	365 Days 1 Renewal	1 Semester 5 Renewals	30 Days 1 Renewal	365 Days 1 Renewal	1 Semester 1 Renewal
Maps & Charts	7 Days 3 Renewals	7 Days 3 Renewals	7 Days 3 Renewals	In Library Use Only	In Library Use Only	In Library Use Only
CDs, Videos, Software	7 Days 1 Renewal	7 Days 1 Renewal	7 Days 1 Renewal	7 Days 1 Renewal	7 Days 1 Renewal	7 Days 1 Renewal
Microfilm/forms	In Library Use Only	In Library Use Only	In Library Use Only	In Library Use Only	In Library Use Only	In Library Use Only
Print Journals	In Library Use Only	In Library Use Only	In Library Use Only	In Library Use Only	In Library Use Only	In Library Use Only

Renewals may be made on line. See the [Hargis Library website](#)

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.

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.

Fines are not assessed for overdue materials, however items that are loaned for periods of a semester, 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 be 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 Williamsburg Campus Libraries:

VIMS faculty, staff and students are able to borrow materials from Williamsburg campus libraries by going directly to the library, or by using the Request function in the catalog database. Sign into the database (upper right corner), locate the item you want and select the Find or Request tab, and fill in the form. The requested item will be sent to Hargis Library and you will be notified when it is available for pick up.

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. Items borrowed from other W&M libraries may be returned directly to the lending library or to Hargis Library.

Individuals can review the materials checked out to them by going to the [Hargis Library website](#), selecting the Renew link, signing in and then selecting the "My Account" link.

Date: March 12, 2021

**Policy and Procedure Document
Virginia Institute of Marine Science
William & Mary**



Number: PPD - 0702
Subject: Contribution Numbers

All published materials such as journal articles, books and chapters in books, and papers in conference proceedings should include a Virginia Institute of Marine Science (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 (or designee) 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, William & Mary” at the appropriate place in the manuscript and insert the number when correcting the proof sheets.

Separately published abstracts do not receive contribution numbers.

Procedures for obtaining a VIMS Contribution Number are available under “Author’s Toolbox” on the [VIMS Library website](#).

Contribution numbers are assigned and tracked for several reasons:

- To track the range of Institute publications in a timely manner
- To identify items that should be placed in the university repository W&M ScholarWorks
- Provide an opportunity to identify publication status (open access), copyright and the deposit of accepted manuscript versions in W&M ScholarWorks where appropriate
- Verify author affiliation formats

Date: March 12, 2021

Number: PPD - 0703
Subject: Author Instructions

Author Affiliation Format for Publications:

The proper style for listing the Virginia Institute of Marine Science's (VIMS) address in any report or article is the following:

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

Some journals have style formats which do not allow for mailing address or P.O. Box numbers, in these cases note that both **VIMS and William & Mary names are mandatory elements**.

Verify use of the main Institute zip code and use the "&" not "and" in the William & Mary segment. Center, department and program affiliation should not be incorporated unless stipulated by the publisher.

Whether you are a sole or co-author, faculty member, student or post-doc, it is your responsibility to ensure that the information is properly indicated in manuscripts and reports.

When listed as a speaker, panelist, committee or commission member, or in press releases, your professional affiliation should be reported as Virginia Institute of Marine Science, William & Mary. If there is a need to include your unit affiliation (department, center, program, etc.), this can be placed thereafter.

Applying this address style is very important in promoting external awareness of VIMS and providing proper attribution of professional contributions from the Institute.

Inconsistencies in style have a detrimental impact on VIMS' data and ranking information as represented in the major research databases such as Scopus, Web of Science and other review sources used by external agencies.

DOI assignment to Reports:

Contact the [Library Director](#) to have a DOI number assigned to a report or data set produced by VIMS members. Doing so prior to the release of the final version of the report will allow for its notation in the final published version.

Deposit of Publications:

The Library serves as the repository for all VIMS publications - report series, special reports, final contract reports, advisory reports, longterm study updates, contributions, or any collaborative report in which a VIMS faculty, staff or student member is a contributing author.

Authors must advise the Library of the publication of any new report by **providing a pdf copy upon completion**, or at the time the report is posted on department or center websites, or submitted to funding agencies. Any supplemental files to the report should be sent as well. Reports and associated datasets will be added to the institutional repository W&M ScholarWorks to provide for long term archiving and public access to VIMS research.

Final contract reports should be sent to the library. Interim reports do not need to be submitted unless they serve as annual reports for longterm funded studies.

If **print copies** are being produced, **one copy** should be provided for the library archive.

If a VIMS publication has been created as digital entity and it is not feasible to provide copies due to the format of the digital report (eg. external file components, gis maps), then Hargis Library should be advised of the publication, author(s), and date, and be provided with the url to the website where the report is hosted. This information must be submitted to the library for archiving at the time reports are posted on department or center websites.

A record of this report will be cataloged with the url to provide access to the work.

Datasets are also candidates for deposit in the W&M ScholarWorks repository to meet long term storage needs and public access to VIMS' research data from the various labs, centers and programs.

Long term data sets, supplemental data for articles, or project data are among some of the candidates for inclusion in the repository.

Contribution Numbers: see PPD 0702

Date: March 12, 2021

Number: PPD - 0704
Subject: VIMS' Report Series & Digital Repository

In order to facilitate wide distribution of data and scientific thought, the Virginia Institute of Marine Science (VIMS) maintains two active series of publications:

- Special Scientific Reports (SSR)
- Special Reports in Applied Marine Science and Ocean Engineering (SRAMSOE),

Although these series are unrefereed publications (gray literature), they carry the imprimatur of VIMS and thus reflect upon VIMS 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 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) would be most appropriate.

Series report numbers are issued by the Library, and the document must include the series name on the cover page.

Digital Repository

The university digital repository, W&M ScholarWorks (<https://scholarworks.wm.edu/>) provides a platform for the long-term storage and public access to VIMS' research data and reports from the various labs, centers and programs.

Long-term data sets, supplemental data for articles, or project data are among the candidates for inclusion in the repository.

Contact the [Library Director](#) to discuss your project.

Date: March 12, 2021

**Policy and Procedure Document
Virginia Institute of Marine Science
William & Mary**



Number: PPD - 0801
Subject: Volunteers

Volunteers are important members of the VIMS community whose donations of time, effort, and spirit are of substantial benefit. Because of the value and volume of the volunteer work, official coordination of the program is necessary. The [Outreach Coordinator](#) in the Office of Advancement facilitates the volunteer program, helps potential volunteers find suitable activities, assists them in the [check-in and check-out processes](#), and maintains appropriate records. All volunteers must complete safety training through the Safety Office and turn in a signed [Liability Release Form](#) prior to starting any work.

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

Information about the volunteer program can be found on the [VIMS “Giving” website](#).

Date: July 1, 2009
Rev.: July 1, 2013
Rev.: January 10, 2018
Rev.: Feb. 22, 2021

Number: PPD - 0802
Subject: Mentorship of High School Students

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 (VIMS). 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 [Outreach Coordinator](#) in the Office of Advancement serves to coordinate and keep records of this activity.

High school students participating in some form of mentored activity must be referred to the Outreach Coordinator and go through the appropriate volunteer check-in and check-out process. All mentored high school students must obtain permission on the [appropriate form](#) from a parent or legal guardian, complete safety training through the Safety Office, and turn in a signed [Liability Release Form](#) prior to starting any activities

As mentorship of high school students is an educational function, only members of the faculty of VIMS 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 topic [Teenagers in Laboratories](#).

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 VIMS, 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 VIMS.

Date: July 1, 2009
Rev.: April 2015
Rev.: January 2018
Rev.: March 2021

**Policy and Procedure Document
Virginia Institute of Marine Science
William & Mary**



Number: PPD - 0901
Subject: Marine Operations Policies and Procedures Manual

This document establishes the [policies and procedures for the operation of vessels](#) at the Virginia Institute of Marine Science (VIMS). This document is reviewed annual and revised as needed by the Director of Marine Operations in direct coordination with the Marine Safety Officer. All policies are approved by the Dean and Director of VIMS.

The policies and procedures document is available on VIMS' website.

Date: March 12, 2021

**Policy and Procedure Document
Virginia Institute of Marine Science
William & Mary**



Number: PPD - 0902
Subject: Denial of Permission to Operate Vessels

Based on the [Marine Operations Policies and Procedures Manual](#), a person whose motor vehicle operator's license is suspended or revoked may not operate boats or vessels owned by the Virginia Institute of Marine Science (VIMS).

The Director of Marine Operations may deny any member of the VIMS community the privilege of operating VIMS boats or vessels. This decision may be appealed to the Chief Operations Officer whose decision may be appealed to the Dean and Director.

Date: July 1, 2009
April 20, 2020

Number: PPD - 0903
Subject: Purchasing or Leasing Vessels

Before attempting to obtain a new or used vessel for programmatic or departmental use, the potential acquisition must be discussed with the [Director of Marine Operations](#). 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 Virginia Institute of Marine Science's (VIMS) fleet meets or can reasonably be made to meet those requirements. Generally, use of an existing vessel is preferable to expanding the fleet.

In order to assure that the acquisition of a boat or other vessel or watercraft does not overly tax the ability of VIMS 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 Department or Center Head of the person requesting the acquisition, the, the [Director of Marine Operations](#), [Chief Operations Officer](#), and the [Budget Director](#). 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. 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 [Director of Marine 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. Any vessel purchased or leased must adhere to all safety and operational policies and procedures outlined by the Marine Operations department.

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

Additionally, acquisition of major equipment, *e.g.* (outboard) motors, for programmatically managed vessels must also be coordinated with the [Director of Marine Operations](#). The operational experience of the Marine Operations Department 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

Number: PPD - 0904
Subject: Working with External Vessel Users, Contracting Process

- I: External customers who wish to contract with the Virginia Institute of Marine Science (VIMS) for use of institutional vessels need to contact the [Director of Marine Operations](#). The Director of Marine Operations, in coordination with the Chief Operations Officer when appropriate, 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 work that lends itself to the definition of an oceanographic research vessel as defined by United States Coast Guard and the [Code of Federal Regulations \(46 CFR Subchapter U\)](#)
 - VIMS state and sponsored program research activities take priority over other requests
 - 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.
 - A portion of the data collected during the cruise will be made publicly available in a timely manner. VIMS acknowledges and accepts that some outside users may have valid reasons to delay the release of the data; however prior arrangements must be made to assure release of a portion of the data collected to VIMS within a reasonable time.
- II: All work on VIMS vessels by outside parties will require the use of a Charter Party Agreement and Charter Order or, for smaller trailerable boats, a signed purchase order. These documents must be in place prior to a vessel leaving port. There are no exceptions.

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

- III: The Marine Operations Department will maintain a schedule for all vessel use whether internal or external. This schedule will be available upon request.

Date: July 1, 2009
Rev.: July 22, 2015

**Policy and Procedure Document
Virginia Institute of Marine Science
William & Mary**



Number: PPD – 0905 (previously PPD-0515)
Subject: Manual for Scientific Diving Safety

This document establishes the policies and procedures for carrying out scientific diving for the Virginia Institute of Marine Science (VIMS). This document is reviewed annually and occasionally updated and revised by the Diving Control Board in coordination with the Diving Safety Officer.

The Manual for Scientific Diving Safety is available on the [Marine Operations website](#).

Date: July 1, 2020

**Policy and Procedure Document
Virginia Institute of Marine Science
William & Mary**



Number: PPD - 1001
Subject: Flex Time

The nominal work hours of the Virginia Institute of Marine Science (VIMS) 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 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 VIMS.

Date: July 1, 2009

Number: PPD - 1002
Subject: Time and Effort Reporting

For various regulatory and management purposes it is important that the Virginia Institute of Marine Science (VIMS) 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 specific time documentation through the [Banner Employee Self Service \(ESS\) System](#). Click on “Banner,” enter your W&M login and password, and follow the prompts for employee timesheets.
 - Hourly employees and non-exempt classified or university employees are responsible for reporting time on a daily basis.
 - Faculty, professional and operational exempt employees who work a normal 40-hour/week, and do not take any leave, do not need to submit the electronic time sheet. They record exception time only, such as annual and sick leave.
- Time entered through the ESS System must be “submitted” to supervisors for approval.
- If the electronic time record was not uploaded and paid with the current pay cycle, the employee should submit a [manual timesheet](#) to [VIMS-Human Resources](#) within 24 hours.

The Office of Human Resources publishes a [list of reporting periods and the due dates](#) for submission of time sheets.

- Supervisors who fail to meet the approval deadline must certify the administratively approved timesheets within 7 days from the original deadline. Failure to approve timesheets in 2 or more pay periods per calendar quarter will result in a penalty charged to the department of \$100 per timesheet.
- Faculty and specific exempt employees periodically need to report the allocation of their work time amongst various activities. Departmental financial officers facilitate this required reporting.

The policies and procedures applicable to VIMS are those of the Commonwealth of Virginia and W&M with modifications, where appropriate, for VIMS. Specific information and assistance in completing time sheets can be obtained from departmental financial officers, business managers and the Office of Human Resources at VIMS or W&M.

Date: July 1, 2009
Rev.: March 2021

**Policy and Procedure Document
Virginia Institute of Marine Science
William & Mary**



Number: PPD - 1003
Subject: Work Week

The official “work week” for the Virginia Institute of Marine Science (VIMS) 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

Number: PPD - 1004
Subject: Overtime Leave

Policy:

It is the policy of William & Mary (W&M) and the Virginia Institute of Marine Science (VIMS) 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 initially at hire, then to change semi-annually requires a DocuSign change form, by both the supervisor and the employee prior to the deadline of 7/1 and 1/1, which goes to W & M Human Resources for the change and placed in the employee's electronic personnel file.
- 3: Overtime leave is earned at a 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 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
March 2021

**Policy and Procedure Document
Virginia Institute of Marine Science
William & Mary**



Number: PPD - 1005
Subject: Telecommuting

The [telecommuting policy and procedure](#) of the Virginia Institute of Marine Science (VIMS) are also those of William & Mary (W&M) and the Commonwealth of Virginia. For classified and university employees, [formal remote 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 W&M Office of Human Resources. Additional information can be found on the [Virginia Department of Human Resource Management](#) website along with [VDHRM Policy 1.61](#) which covers telecommuting.

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

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
Rev.: July 23, 2015

**Policy and Procedure Document
Virginia Institute of Marine Science
William & Mary**



Number: PPD – 1015 (previously PPD-0015)
Subject: Check-in Procedure

Individuals who are beginning their employment as faculty, professional faculty, professional or employee (students check in through the Office of Academic Studies) with the Virginia Institute of Marine Science (VIMS) must complete an on-line, [DocuSign Check-in Form](#). After all steps and signatures have been completed, a copy will be provided for your records. Contact [VIMS-HR](#) with questions.

Rev.: August 2016
Rev.: March 2021

Number: PPD – 1016 (previously PPD-0016)
Subject: Clearance (Check Out) Procedure

Individuals who are ending their status as faculty, professional faculty, professional, operational, classified, and hourly must return all equipment (Lap top, any at home printers, etc). The employee must write a resignation letter to their supervisor, copying the business manager, if applicable, including last day worked.

The terminating employee's supervisor or business manager submits the clearance through the online [Cherwell Clearance system](#). The supervisor or business manager who initiates the clearance must upload the employee's resignation letter. Instructions can be found [Cherwell online clearance instructions](#). **Note:** This process is not initiated by the employee.

Students and Volunteers go through a separate clearance process. Graduate Assistants complete a DocuSign form via Academic Studies. Students who are leaving VIMS must meet with the VIMS Registrar initially.

Volunteers, including visiting, unpaid scientists, who are leaving service must meet with the Volunteer Coordinator to complete their checkout form. [Volunteers and visiting Scientist Check out form](#)

Completion of the forms will help assure that mail will be forwarded, accounts are closed, and mutual obligations have been satisfied.

Date: August 1, 2010
Rev.: September 19, 2012
July 15, 2015
August 2016
August 2017
March 11, 2021

**Policy and Procedure Document
Virginia Institute of Marine Science
William & Mary**



Number: PPD – 1101 (previously PPD-0020)
Subject: Business Cards

Business cards for faculty and staff of the Virginia Institute of Marine Science should be obtained through [News & Media Services](#).

Business cards will be set to a standard design determined by News & Media Services.

Date: February 22, 2021

Number: PPD – 1102 (previously PPD-0041)
Subject: Media Relations

Purpose and Scope

As an integral part of its mission, the Virginia Institute of Marine Science (VIMS) has a continuing responsibility to keep the public informed of its programs, activities, and research. The office of News & Media Services is the official VIMS outlet for initiating contact with and providing information such as news releases to representatives of the media. The Director of News & Media Services 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, blogs, 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 (W&M). 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 research, academic activities, or other programs. 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 VIMS' office of News & Media Services, anyone at VIMS who has contact with the media is strongly encouraged to report the contact to the Director of News & Media Services and, if appropriate, to other administrators.

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 Associate Dean of Research and Advisory Services and the Director of News & Media Services.

Delegation of Authority

William & Mary's office of University Relations: University Relations at W&M has primary responsibility for media relations pertaining to university-level issues (see Review and Approval).

News & Media Services, VIMS: The VIMS Director of News & Media Services 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 website, 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 News & Media Services in accordance with the VIMS Media Relations Policy. William & Mary's Office of University Relations has delegated this responsibility to the VIMS Director of News & Media Services.

Virginia Sea Grant and the Chesapeake Bay National Estuarine Research Reserve in Virginia (CBNERRVA): All federal partners that share the VIMS campus are responsible for following the review and approval procedures of the VIMS office of News & Media Services 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 News & Media Services 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 News & Media Services with copies of any such release of information concurrent with its release to the media.

Review and Approval

University-Level News Releases: University news is defined as information dealing with issues directly related to W&M, the W&M 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 Director of News & Media Services will determine if any university-level approval must be obtained for VIMS releases, and must approve all VIMS-related university-level news releases issued by W&M. The VIMS Director of News and Media

Services will forward all news releases that require W&M approval to the Dean and Director, the Vice President and Associate Vice President for Strategic Initiatives and Public Affairs at W&M, the Senior Associate Vice President for Communications and Chief Communications Officer, 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 Director of News and Media Services 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 Virginia Sea Grant, CBNERRVA, NOAA CBO, Army Corps of Engineers (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 Director of News and Media Services 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' Director of News and Media Services for approval before it is submitted to the media outlet. These communication pieces may require further approval by the Dean and Director and/or the Associate Dean of Research and Advisory Services.

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 [VIMS website](#).

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 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
Rev.: March 2017
Rev.: February 2021

Number: PPD – 1103 (previously PPD-0042)
Subject: 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 News & Media Services 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 VIMS News & Media Services 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 William & Mary (W&M).

News & Media Services 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, W&M, 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 News & Media Services for approval with a detailed explanation of the proposed product. Prior to duplication of the completed product, the initiating organization will work with VIMS News & Media Services 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 News & Media Services.

Date: July 1, 2009

Rev.: February 21, 2021

Number: PPD – 1104 (previously PPD-0043)
Subject: VIMS Visual Identity System

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](#). 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 VIMS VIS 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 VIMS VIS are available for many products through the [VIMS Publications Center](#)

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

Responsibilities

VIMS News & Media Services is responsible for all policy related to the VIMS VIS. This responsibility includes oversight of Visual Identity System-related work performed by various VIMS departments or units. News & Media Services, working in coordination with various VIMS departments or units, also provides advice and guidance on visual identity-related issues. The News & Media Services 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 VIS 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 VIS 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 VIS 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 VIS in the design and production of those materials, regardless of medium, and for coaching and advising employees on the use of the VIMS VIS as needed.

Managers are responsible for the accurate and appropriate use of the VIMS VIS 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 VIS guidelines. Managers should champion accurate use of the VIMS VIS in print, electronic, and other products produced in or on behalf of their program area.

Date: July 1, 2009

Rev.: May 7, 2010

Rev.: February 21, 2021

Number: PPD – 1105 (previously PPD-0044)
Subject: Permissions Policy for Use of VIMS Graphic Images, Web Links, etc.

The Virginia Institute of Marine Science (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 News & Media Services 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 News & Media Services 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](#) 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 News & Media Services 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 News & Media Services 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 synthetization 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

Rev.: February 21, 2021

**Policy and Procedure Document
Virginia Institute of Marine Science
William & Mary**



Number: PPD – 1106 (previously PPD-0045)
Subject: Identification of VIMS on Distributed Materials

In order to assure appropriate public recognition of the Virginia Institute of Marine Science (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 News & Media Services who will assure that VIMS is properly identified as the source of the material.

Date: July 1, 2009
Rev: February 21, 2021

Number: PPD - 1302
Subject: Policy on Appointment of Non-Tenure Eligible (NTE) Faculty, Adjunct Faculty, Research Scientists and Postdoctoral Research Associates

Institutional Goal

VIMS is an internationally recognized marine research and education center with a unique advisory service role within and outside of the state. One of our greatest strengths is a faculty with varying profiles that participates in and fulfills our tripartite mission. One of our challenges is to ensure that there is flexibility in faculty appointments that enhances our responsiveness in addressing the missions of VIMS while at the same time maintains a firm commitment to excellence in our programmatic areas. Thus, it is crucial that future faculty appointments are structured first and foremost to meet the needs of our institutional missions and that we are able to attract outstanding and diverse scholars. All search and selection procedures must follow [William & Mary Recruitment and Selection Policy](#).

Types of Appointments

This document describes policies regarding the following paid appointments: Tenured and Tenure-Eligible (TTE) Faculty, Non-tenure Eligible (NTE) Faculty, Adjunct (part-time) Faculty, Research Scientists and Postdoctoral Research Associates. Policies regarding unpaid Affiliated Scholar appointments are described in PPD-1309.

TTE Faculty. This type of appointment is distinguished by an obligation to participate in the graduate education program at VIMS in addition to research and advisory service. Composition of the tenure-eligible faculty should be determined primarily by 1) curriculum needs, 2) research profiles that allow scholarly achievement in one or more disciplines of strategic importance to VIMS, and 3) advisory service needs of the Commonwealth. Titles for persons who occupy these positions are assistant professor, associate professor, and professor.

NTE Faculty. This type of appointment is made primarily on the basis of expanding the expertise at the PhD level needed to address the tripartite VIMS mission of research, advisory service and education. Individuals holding these appointments must have a level of independence and scholarship equal to that of the tenured and tenure-eligible faculty, and their responsibilities will be determined by their individual profiles. These appointments can be full-time continuing (i.e., hold a presumption of continuation) or in some cases full-time specified-term (i.e., termination on a specified date in the contract). Taking into account individual profiles, all NTE faculty will be evaluated for promotion by the Faculty Status and Tenure Review Committee (FS&TR), following standard evaluation procedures and timelines as outlined for tenured and tenure-eligible faculty in PPD-1308. Titles for persons in such appointments are Assistant Professor,

Associate Professor, and Professor. Additional title modifiers may be used as described in the [William & Mary Faculty Handbook](#).

Adjunct Faculty. This type of paid faculty appointment may address short-term needs in education, research, or advisory service. Adjunct faculty do not accrue retirement or other benefits pursuant to regulations of W&M, the [Virginia Department of Human Resource Management](#), and the [Virginia Retirement System](#). Adjunct faculty may participate in faculty governance but may not vote.

Adjunct faculty appointments may be used by faculty with Emeritus status who desire to return to work on a part-time basis to complete or continue research and associated activities, following a bona fide break in service. While general funds may be used to support non-Emeritus adjunct faculty positions, faculty with Emeritus status are typically funded entirely by external funds, indirect cost (IDC), or fixed price variance accounts with concurrence by the Dean and Director. Additional compensation for teaching may be provided with concurrence by the Associate Dean of Academic Studies. The faculty member will notify the Dean and Director prior to retirement regarding the desire to fill an adjunct role, but specifics are negotiated after retirement, following the guidelines of the [W&M Faculty Retirement and Return to Work Policy](#).

Research Scientists. This type of appointment is primarily for PhD-level scientists who support the research and advisory service missions of VIMS, but do not necessarily serve as independent principal investigators, and as such, have expectations that are set by the faculty who supervise them. They may participate in general departmental matters but do not vote. Because these positions are linked to specific programmatic needs, individuals in these positions typically serve as co-principal investigators, but are also encouraged to serve as principal investigators. They are not reviewed by the FS&TR for promotion or retention, as these positions are part of the Professionals and Professional Faculty (PPF) classification. These appointments can be full-time continuing (i.e., hold a presumption of continuation) or full-time specified-term (i.e., termination on a specified date). Titles for these positions include Assistant Research Scientist, Associate Research Scientist and Senior Research Scientist.

Post-Doctoral Research Associates. This type of NTE appointment, which allows the infusion of talented new PhDs into the research environment of VIMS, should be viewed as temporary and in general should not exceed four years. These positions are designed to enable individuals to gain practical experience and training in their field, including opportunities to write grant proposals, learn advanced research methods, and produce scientific publications. They may participate in general department matters but do not vote.

Fundamental Provisions

NTE Faculty (See Attachment A)

1. All NTE faculty appointments at VIMS must conform to the [W&M Faculty Handbook](#) under the section entitled 'Appointment Categories and Contracts and Notices'.
2. NTE faculty appointments at VIMS must be structured (within the framework specified

- in the *Faculty Handbook*) to meet the strategic needs of VIMS.
3. Regardless of the method by which a candidate is selected, at the request of the Dean and Director, FS&TR will review faculty appointments and recommend an appropriate rank to the Dean and Director.
 4. NTE faculty appointments can reside in departments, centers (e.g., ABC, CCRM, MAP), or federal partnership programs (e.g., Sea Grant, CBNERR), but they must be a member of a department. NTE faculty appointments can be initiated by the head of the unit providing the funding after consultation with and approval by both the proposed Department Chair and the Dean and Director. NTE faculty appointments require approval by the Dean and Director in consultation with the Associate Dean of Research and Advisory Services, Associate Dean of Academic Studies, and Chief Financial Officer, and FS&TR where appropriate.
 5. Typically, all faculty, both TTE and NTE, immediately or eventually fund some portion of their salary through external sources. Those details are the purview of the Dean and Director and will be outlined in the letter of intent.
 6. All NTE faculty are encouraged to participate in the education mission of the institute, assuming they have the necessary approval set forth by the Academic Council and Associate Dean of Academic Studies.
 7. NTE faculty will have voting rights except on matters related to TTE faculty appointments, retention, promotion, and tenure, as described in the VIMS Faculty By-laws.
 8. NTE 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 permitted.
 9. The general requisites for annual evaluation and for promotion will be the same for TTE and NTE faculty appointments in that both are tied to measures of performance. Annual evaluations of NTE faculty will be performed by the chair of the department with which they are affiliated in consultation with the center or federal partnership program, if applicable. If the NTE faculty member is the chair of a center or federal partnership program, they may be additionally reviewed by the Dean and Director. Annual review and promotion for all faculty will follow established policies that have been approved by the Faculty Council (see PPD-1308) and appropriate committees at W&M.
 10. In the case of a negative decision on promotion to associate professor, termination of the candidate's NTE faculty appointment at VIMS will follow the procedures outlined for TTE faculty in the [W&M Faculty Handbook](#) Section III.C.1. However, NTE faculty who are not promoted to the associate level can move into a Research Scientist role if there is agreement by the department in which the NTE faculty member is affiliated and by the Dean and Director. Appeals are permitted on procedural grounds as described in PPD-1308 and the *Faculty Handbook* Section III.C.1.d.

1. In the case of retired faculty, adjunct contracts will be issued on an annual basis. Three months prior to contract expiration, the adjunct faculty member will submit a progress report of productivity and expenditures to the Dean and Director. The Dean and Director shall determine renewal of the annual contract and continued access to IDC funding if applicable. Non-retired adjunct faculty may be hired with contracts associated with an individual semester.
2. Adjunct faculty appointments can reside in departments, centers (e.g., ABC, CCRM, MAP), or federal partnership programs (e.g., Sea Grant, CBNERR).
3. Adjunct faculty can elect to teach classes and mentor students if they receive any necessary approval set forth by the Academic Council and Associate Dean of Academic Studies.

Research Scientists (See Attachment A and B)

1. All Research Scientist appointments at VIMS must conform to the Professionals and Professional Faculty Handbook. These appointments can be renewed indefinitely subject to the availability of funds, an assessment that a continued appointment is beneficial to VIMS, and satisfactory annual performance reviews of the appointee.
2. Appointment can be attained by promotion from an existing position within VIMS or as the result of an external search. These positions are usually initiated by a faculty member and require the approval of the Department Chair or center/partnership director, and the Dean and Director. Promotions within the Research Scientist track can occur following a classification/compensation review.
3. Under special circumstances, Research Scientists can be involved in teaching and mentoring graduate students provided they meet requirements and necessary approval set forth by the Academic Council and Associate Dean of Academic Studies.
4. Research Scientists may apply for advertised faculty positions at VIMS and would be treated as any other applicant.
5. Research Scientists will be evaluated annually by their faculty supervisors, following standardized procedures, with review of evaluations by the supervisor's supervisor.

Postdoctoral Research Associates

1. Postdoctoral Research Associates 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. Except in extenuating circumstances, positions should last no more than four years. Fellowships available to postdoctoral 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 postdoctoral mentor and Department Chair. Postdoctoral researchers can be PIs with approval by the postdoctoral mentor, Department Chair or Center/Partnership Director, and the Associate Dean for Research and Advisory Services.
2. General guidelines for postdoctoral salaries are developed by the Dean and Director, in consultation with the faculty, and communicated to the faculty-at-large and the Office of

Sponsored Programs. Postdoctoral Research Associates will be evaluated annually by their faculty mentors, following standardized procedures for faculty, with review of evaluations by the respective Department Chairs.

3. Under special circumstances and if encouraged by the PI, Postdoctoral Research Associates can be involved in teaching and mentoring students provided they meet the requirements and necessary approval set forth by the Academic Council and Associate Dean of Academic Studies.

Date: June 16, 2008

Reviewed March 16, 2009

Minor revision, July 1, 2009

Revised March 1, 2013

Approved by PPC April 8, 2013

Minor revision, March 2016

Minor revision, July 2017

Minor revision, March 2018

Revision, November 2021

ATTACHMENT A
Comparison of Research Positions
Non-Tenure Eligible (NTE) Faculty vs Research Scientist track

Position Characteristics	NTE Faculty	Research Scientist
Primary role	Maintains an independent research program	Primarily supports research
Tenure-eligible	No	No
BOV appointment approval	Yes	No
National search requirement	Yes (see note re: search waivers)	Yes (if new position) No (but under stringent search waiver process)
Department faculty vote for appointment	*Yes	No
Teaching/mentoring	Typically yes	Typically no (but yes with approval)
Annual contract	Variable, depending on whether specified term	Variable, depending on whether specified term
Renewable position	Typically yes, but may be funding dependent	Funding dependent
FS&TR Evaluation for retention, promotion	Yes	No
Annual evaluation	Yes	Yes
Obligation of programmatic resources/space	Yes	No
Benefits	Yes	Yes
Funding sources	Soft money and general funds	Soft money and general funds
Faculty voting rights	**Yes	No
Independent investigator	Yes	Supporting role
Expected to write proposals with faculty or independently as PI	As PI	Typically as co-PI, but PI status encouraged
Expected to submit manuscripts for publication, prepare presentations, etc.	Yes	Yes, but expectation assigned by PI

*Department Chair and if applicable Center or Federal Partnership Program Director must approve all appointments

**Except on matters related to TTE faculty appointments, retention, promotion and tenure

ATTACHMENT B
Research Scientist Series

Attributes	Assistant	Associate	Senior
Basic Job Elements/Expectations			
Outreach involvement (profile dependent)	Minimal participation	Active participation	Independent
Program budget management	Minimal participation	Active participation	Independent
Program management	Minimal participation	Active participation	Independent
Scholarship /Publications	Support	Significant support	Independent
Competencies/ KSAs (Knowledge, Skill, Ability)			
External funding process	Knowledge	Ability	Demonstrated/proven
Outreach KSA (profile dependent)	Knowledge	Ability	Demonstrated/proven
Scholarship/ Publications	Knowledge	Ability	Demonstrated/proven
Required Education	Advanced degree	Advanced degree	Advanced degree
Required Experience	0-3 years	3-5 years	More than 5 years
Preferred Qualifications	Terminal degree	Terminal degree	Terminal degree

HIRING PROCESS

Hiring of all TTE faculty, NTE faculty, Research Scientist and Postdoctoral Research Associate appointments at VIMS must conform to the currently accepted W&M hiring policy. Additional details regarding this process that are unique to VIMS are provided below.

Establishment of NTE Faculty Positions

1. Department Chair (in conjunction with, if applicable, center or federal partnership program director) writes a position description consistent with performance expectations (i.e., profile). The Office of the Dean and Director will serve as a resource for NTE faculty positions.
2. The Office of the Dean and Director will finalize a position description for NTE faculty in consultation with the appropriate Department Chair, the Associate Dean of Research and Advisory Service and the Associate Dean of Academic Studies. In consultation with the Department Chairs, the Dean and Director will determine the departmental affiliation and whether the position will be continuing or specified term. The Office of the Dean and Director will process all NTE faculty positions through the appropriate position management and recruitment system where they will receive review/approval by the Department Chair (and if applicable, center or federal program director), Chief Financial Officer, Office of the Provost, W&M Human Resources and VIMS OSP and Office of Finance.
3. Requests for recruitment of NTE faculty from a Research Scientist or postdoctoral research associate position must be initiated by a Department Chair, must be used sparingly, and must rigorously follow the search waiver process noted below. The Office of the Dean and Director will serve as a resource in these cases.

Establishment of Research Scientist or Postdoctoral Research Associate Positions

1. A faculty member with appropriate available funding may write a position description for a new postdoctoral or Research Scientist position. The search process will follow standard W&M procedures with assistance from the Office of the Dean and Director (postdoctoral research associate positions) and VIMS/W&M HR (Research Scientist positions.)

Search waivers

When faculty are hired, Federal regulations and W&M procedures require that a search be conducted in accordance with W&M's search and selection procedures. W&M waives this search requirement for NTE faculty, Research Scientists and postdoctoral Research Scientists only in extraordinary circumstances.

In the rare instance when an NTE faculty search is waived, a departmental faculty vote is required and an evaluative letter of departmental support from the Department Chair must be sent to the Dean and Director, along with a CV and three letters of recommendation. The evaluative letter must outline why the candidate is uniquely qualified to serve in the desired

position and should also address how this position would change/impact the diversity of the department – specifically regarding expertise as well as racial and gender composition. NTE faculty candidates must then also be reviewed for suitability by the FS&TR, who will also submit a letter to the Dean and Director reporting the results of their review. Waivers and required materials approved by the VIMS Dean and Director, the Department Chair, and the FS&TR will then be forwarded to the Office of the Provost for review, approval and appropriate processing through the official position management and recruitment system.

A search waiver request for a Postdoctoral Research Associate or Research Scientist position does not require departmental and FS&TR review. After the search waiver is approved by the Dean and Director, the required materials will be forwarded to the Vice President for Research and Graduate Professional Studies (Postdoctoral Research Associate) or central HR (Research Scientist positions) for final review and approval.

Search process for NTE faculty

1. The search process for NTE faculty follows the same search process as for TE faculty.
2. As described above, any requests for search waivers for NTE faculty appointments must be approved by the Dean and Director and the appropriate Department Chair, in consultation with the FS&TR. Any waivers approved by VIMS will then be forwarded to the Office of the Provost for review, approval and appropriate processing through the official position management and recruitment system.

Search process for Postdoctoral Research Associates and Research Scientists

1. For Research Scientists and Postdoctoral Research Associates, the search is conducted by the faculty member or team of Co-PIs with extramural funds in hand to fill a specific position in accordance with current W&M policy.
2. When a Postdoctoral Research Associate position has been accepted, a contract will be created by the Dean and Director's Office and will be extended to the finalist by the Provost. The contract for a Research Scientist will be created by the Dean and Director's Office and will be extended by the Department Chair or Center Director.
3. The department does not vote on the candidates and the FS&TR does not perform a credential review.

Number: PPD - 1303
Subject: Procedures for Annual Merit Evaluation of Faculty

1. Department chairs, in consultation with center directors when appropriate, shall conduct annual merit evaluations of their respective faculty consistent with procedures in this document and the [William & Mary Faculty Handbook](#).
2. By the end of January of each year the Dean and Director will request that all faculty members submit to their department chair, and center director if appropriate, an updated *curriculum vitae* (CV), 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 (including professional service), advisory service, education, and governance (in percentages that total 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 tenured and tenure-eligible faculty participate in all four evaluation areas. Allocation of effort for faculty will be consistent with their profile. Terms of the planning letter will be negotiated between the chair and faculty member in consultation with and approval by the Associate Dean for Research and Advisory Services and the Associate Dean of Academic Studies.

It is important that the chair foster long-term faculty development for senior faculty and mentoring of junior faculty during the annual evaluation process to ensure alignment with the Procedures and Criteria for Appointment, Evaluation, Retention, Promotion and Award of Tenure (PPD-1308). 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 on the goals, objectives, and allocation of effort 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, chair, and the appropriate Associate Dean, and should become part of the evaluation documentation along with the original planning letter.

3. The chair, in consultation with the center director when appropriate, 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 (see PPD-1304).

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 (1.0); Meets Expectations Low (1.5); Meets Expectations (2.0); Meets Expectations High (2.5); Exceeds Expectations (3.0). A cumulative score shall be determined by summing the product of each activity's (research, advisory service, education, and governance) score (1.0, 1.5, 2.0, 2.5, or 3.0) 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 60% to research, 15% to advisory service, 20% to education, 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, the annual merit evaluation score rounded to one decimal would be 2.4 ($0.60 \times 2 + 0.15 \times 3 + 0.20 \times 3 + 0.05 \times 2 = 1.20 + 0.45 + 0.60 + 0.10 = 2.35$).

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 an unsatisfactory overall performance over three consecutive years (see PPD-1308). An unsatisfactory overall performance occurs when a faculty member has an annual merit evaluation score of 1.5 or less over 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 (and center director if appropriate) 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 and Director'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 his or her 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)
Minor editorial changes - July 2011.
Minor editorial changes – November 2016

Number: PPD - 1304
Subject: SMS/VIMS Activities and Criteria for Annual Merit Evaluation of Faculty

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 mission and long-term goals 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 William & Mary [Faculty Handbook](#), the [Bylaws of the Virginia Institute of Marine Science](#), and procedures and criteria established by the faculty and approved by the Dean and Director.

The department chair, in consultation with center directors as applicable, 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 in the form of planning letters with the department faculty with ultimate approval by the Associate Dean for Research and Advisory Services and Associate Dean of Academic Studies. The annual evaluation is to be based on the goals, objectives, and allocation of effort in the planning letter, and how accomplishments compare to other departmental faculty. It is important that the chair and center directors, as applicable, foster long-term faculty development for senior faculty and mentoring of junior faculty during the annual evaluation process to ensure alignment with the Procedures and Criteria for Appointment, Evaluation, Retention, Promotion and Award of Tenure (PPD-1308).

II. ACTIVITIES COMMENTARY

The following commentary on annual evaluation activities as broadly defined in PPD-1310, is provided as general guidance to chairs, center directors, and faculty. It is the prerogative of the departmental faculty 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 (also see PPD-1303, "Procedures for Annual Merit Evaluation of Faculty"):

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

Meets Expectations High: This rating shall be awarded to a faculty member who exhibits above normal effort and performance, and on occasion exemplary performance in a given area (i.e.

education, research and professional service, advisory 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 and professional service, advisory service, and governance).

Meet Expectations Low: This rating shall be awarded to a faculty member whose effort and performance in a given area (i.e. education, research and professional service, advisory service, and governance) is generally below the performance expected of faculty.

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 and professional service, advisory 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. In addition to being part of the annual merit review, the four areas listed below are used as criteria for tenure review and promotion.

1. Research and Professional Service

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 VIMS and William & Mary.

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

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

Non-Virginia directed advisory service (further details in PPD-1310)

- Service on international committees not directly relevant to Virginia
- Service on national or regional committees not directly relevant to Virginia
- Service on state committees that are not part of Virginia

2. Advisory Service to Virginia

Whereas professional service is construed as participation in activities that support research and professional communications, advisory service means service to the agencies of the Commonwealth, the governor's offices and VA General Assembly, to local governments, to industry, to nongovernmental organizations, to public interest groups, to appropriate federal and international agencies as defined in PPD-1310, and to the general public.

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)
- Advisory reports
- Committee, council, and commission activity of relevance to Virginia
- Products of advisory activity (e.g., regulations, standards, legislation, guidelines, policy)

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, as specified in PPD-1310, high quality formal classroom teaching and student mentoring is normally expected of all tenured and tenure-eligible faculty who are not full-time administrators. 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. 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 William & Mary. 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 current CV in VIMS modified W&M 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 and/or center director prepares an 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 and professional service, 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 goals and objectives, and provides for the professional development of the faculty member. It is the responsibility and authority of the chair and where appropriate, in consultation with the center director, to formally approve the profile contained in the annual planning letter. The planning letter, together with how accomplishments compare to other departmental faculty, is 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 and a summary self-assessment for the entire year must also be provided. Chairs will request input from the Associate Dean of Academic Studies for teaching evaluations, and the Associate Dean for Research and Advisory Services 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.)

Minor editorial corrections July 2011.

Minor editorial corrections November 2016.

Number: PPD - 1305
Subject: Policy, Procedures, and Criteria for Appointment of Named Professorships

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.

15 November 1993 (retyped 9 May 2007, amended May 29, 2008, March 10, 2009)

Number: PPD – 1306
Subject: Faculty Leaves of Absence for Academic and Non-Academic Leave and Absences for Research and Other Scholarly-Related Activities

Introduction

Faculty may periodically have academic, non-academic, and research-related reasons for being absent from campus for extended periods. This policy and procedure document (PPD) is intended to define the process for providing notification of and requesting approval (as required) for such leave and to ensure that the needs of the Institute are met during the absence.

This PPD only covers the processes associated with notifying and requesting approval from the Dean & Director and Provost as required for each type of leave. This PPD does **not** describe travel approval policies or human resources policies and procedures that may apply to each type of leave. Associated [travel](#) and [HR policies and procedures](#) must be followed **in addition** to notifying and receiving approval from the Dean & Director and Provost as described below.

Eligibility

From the [William & Mary faculty handbook*](#):

Section III.D.1.a. *Only members of the faculty holding full-time continuing appointments are eligible for the academic, non-academic, and research leaves described below. Such faculty members' eligibility is not based on the source of the funding for their position, unless the funding source or a contractual obligation of the College precludes the approval of such a leave. In the event of ambiguity, the Provost, on authority delegated by the Bylaws of the Board of Visitors, shall determine a faculty member's eligibility for a requested benefit.*

Types of leave covered in this PPD:

1. **Academic leave:** See the [William & Mary Faculty Handbook* Section III.D.2](#) for definitions of this type of leave. Leaves of this type must be **at least** one semester in duration. Except for Scheduled Semester Research Leave (SSRL)/Faculty Research Assignments, these types of leave require approval by the Provost and Board of Visitors.
2. **Non-academic leave:** See the [William & Mary faculty handbook* Section III.D.3](#) for definitions. This type of leave also includes annual leave as defined by [W&M's benefits and leave policy](#).
3. **Absence for research and other scholarly-related activities:** Defined for the purposes of this PPD as research and other scholarly-related activities that take place in a location other than the faculty member's assigned work location (Gloucester Point or Eastern Shore campus) and do not meet the requirements for Academic Leave as defined in the [William & Mary Faculty Handbook* Section III.D.2](#)

4. [Remote Work Agreements](#) are **not** covered by this PPD, as they follow a separate approval process governed by University Human Resources.

Commitment to Student Progress:

Any type of faculty leave has potential implications for the research and progress of students, including those advised as a committee member. It is critical that, prior to requesting leave, faculty develop plans that will ensure continuity of advising and allow scheduled milestone attainment for their advisees and students on whose committees they serve. It is especially important that faculty leave not delay a student's ability to defend the thesis, dissertation, or capstone and graduate as planned.

Guidelines and Processes for Approval

1. **Academic Leaves:**

- A. **Faculty Research Assignments** (also known as Scheduled Semester Research Leave per the [Faculty Handbook*](#))

Faculty Research Assignments can be granted for up to twelve months. For Research Assignments that are six months or less in duration, the faculty member's current fraction of generally-funded salary and fringe benefits will be provided to support the research assignment. For Research Assignments with durations between six and twelve months, the faculty member's total general funds support over the full course of their Research Assignment will be limited to the total generally-funded salary and fringe benefits normally provided to that faculty member over six months. In some years, a small amount of general funds may be available to support non-salary costs directly related to the Research Assignment.

Eligibility

All VIMS faculty members (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 Research Assignment.

A faculty member hired with or without tenure will receive one year of credit for every two 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, postdoctoral fellowships, and similar positions at other institutions before the applicant joined the VIMS faculty.

Approval for Research Assignment Leave will not be granted if a faculty member has an advisee on probation as defined in the SMS Graduate Catalog.

Conditions of Research Assignments

Research Assignments are made on the condition that the recipient will:

- Return to active service at VIMS for a minimum of one year following the period of the Research Assignment.
- Activities including outside or overload employment during the period of the assignment must be consistent with the [Policy on External Paid Employment](#).
- Teaching and service activity for VIMS during the period of the Research 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 a Faculty Research Assignment, the faculty member must submit a Leave Activity Report to their Section Chair and Center Director, if applicable, and the Dean & 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 Faculty Research Assignment. That decision will rest with the Dean & 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 (with a plan for utilization of the new technology) are acceptable undertakings. Curriculum development and enhancement is also an acceptable endeavor, but a definitive product is expected and prior recommendation by the Academic Council is desirable.

Application

The Office of the Dean & Director will issue a call for Research Assignments in January 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 will be limited to a cover page and two 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 include:

- Name
- Title of the project
- Proposed duration of assignment with start and end dates
- Amount and source of other salary support if duration exceeds six months

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.

In addition, prior to application submission, it is required that the faculty member have a discussion with the Associate Dean for Academic Affairs regarding plans to cover teaching, student mentoring, and service on student advisory committees, the Associate Dean of Research and Advisory Services regarding the ability to meet advisory services obligations, and the Chief Financial Officer to outline how any expenses associated with the leave period will be handled. Submitted plans should reflect these conversations.

Submit electronic versions of the application, a current Curriculum Vitae (standard W&M format), and a statement of support from the faculty member's Section Chair and Center Director, if applicable, to the Faculty Council Chair by the date specified in the 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, except the Chair, are eligible to submit applications during the first two years of service. Faculty Council members who submit applications will not review any applications.

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:

- 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.
- 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; and (3) grants received or applied for by the applicant in the most recent period prior to the application.

The Faculty 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 Faculty 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 & Director a prioritized list of faculty recommended for Research Assignments. Recommendations by the Faculty Council will be forwarded to the Dean & Director within two weeks of application review. The Dean & Director will report a final decision to the Faculty Council, and provide rationale for decisions that diverge from recommendations of the Faculty Council. 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 of the Faculty Council 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 Faculty Council will consider the application.

B. Educational and Other Academic Leaves:

Policies governing these types of leave are stated in the [William & Mary Faculty Handbook* Section III.D.2](#). To request these types of leave, a faculty member must follow the process outlined below:

- The faculty member should discuss the leave first with the faculty member's Section Chair and Center Director, if applicable, then with the Associate Dean for Academic Affairs (ADAA) and the Associate Dean for Research and Advisory Services (ADRAS).
- The faculty member shall draft a memo to their Section Chair and Center Director, if applicable, providing a description and justification for the leave and outlining the plan for continuity in advisory, educational, governance, and required research responsibilities, as discussed with the Section Chair and Center Director, if applicable, ADAA, and ADRAS.
- The Section Chair and Center Director, if applicable, shall forward this request to the VIMS Dean & Director along with an endorsement (if applicable) of the continuity plan.
- The VIMS Dean & Director will forward the request, along with a request for approval/denial, to the Provost who will forward the request, along with a request for approval/denial, to the Board of Visitors.

Note that for Faculty Research Assignments as described in Section A above, final approval of the leave rests with the Dean & Director. For Educational and Other Academic Leaves as described in Section B above, final approval of the leave rests with the Provost and Board of Visitors as outlined in the Faculty Handbook. In both cases, final approval of the continuity plan associated with the absence rests with the Dean & Director.

2. Non-academic leave:

For full policy details please refer to the [William & Mary faculty handbook* Section III.D.3](#). A faculty member requiring non-academic leave for 15 or more consecutive business days (3 weeks) should notify their Section Chair and Center Director, if applicable, Dean & Director, and the Provost and make appropriate arrangements for covering responsibilities during the absence as far in advance as possible, preferably at least one semester, but no less than 30 days in advance of a *planned absence*. These absences should also be documented in the annual planning letter to the extent possible. Although non-academic leave is honored as allowed/approved per human resources policies, arrangements should be made to cover the faculty member's research, advisory service, educational, and/or governance responsibilities during the period of absence.

- The faculty member should discuss the absence first with the faculty member's Section Chair and Center Director, if applicable, then with the Associate Dean for Academic Affairs (ADAA) and the Associate Dean for Research and Advisory Services (ADRAS). It is not required for the faculty member to disclose the reason for the leave.
- The faculty member shall draft a memo to their Section Chair and Center Director, if applicable, providing notification of the leave and outlining the plan for continuity in advisory, educational, governance, and required research responsibilities, as discussed with the Section Chair and Center Director, if applicable, ADAA, and ADRAS.
- The Section Chair and Center Director, if applicable, shall forward this memo to the VIMS Dean & Director along with an endorsement (if applicable) of the continuity plan.
- If the Dean & Director approves of the continuity plan, the memo will be forwarded to the Provost.
- In addition to the process outlined above, all [HR policies and procedures](#) must be followed for non-academic leaves of absence

Approval for non-academic leave is governed and approved by [related human resources policies and procedures](#) and does not require Dean & Director approval. Following consultation with the faculty member and the associate deans, final approval of the continuity plan associated with the leave rests with the Dean & Director. Once approved, the continuity plan will be forwarded to the Provost as required.

3. Absences for research and other scholarly-related activities not associated with Academic Leaves described above:

A faculty member who wishes to conduct research or participate in other scholarly-related activities in a remote location (location other than their assigned work location of the Gloucester Point or Eastern Shore campus) for a period of 20 or more consecutive business days (4 weeks) and/or 40 or more business days within a 6 month period, should notify their Section Chair and Center Director, if applicable, and the Dean & Director and make arrangements for covering responsibilities during the absence as far in advance as possible, preferably at least one semester but no less than 30 days in advance of a *planned absence*. To the extent possible, planned absences should also be discussed with the faculty member's Section Chair and Center Director, if applicable, during annual performance review and be documented in the annual planning letter.

This policy should be considered by faculty members when submitting one or more funding proposals that will require work away from the Gloucester Point or Eastern Shore campus for a cumulative period of 20 or more consecutive business days (4 weeks) and/or 40 or more business days within a 6 month period. If one or more proposals will require an absence from campus that meets these criteria, the process outlined below should take place before proposal submission.

- The faculty member should discuss the absence first with the faculty member's Section Chair and Center Director, if applicable, then with the Associate Dean for Academic Affairs (ADAA) and the Associate Dean for Research and Advisory Services (ADRAS). Leaves of Absence cannot delay a student's ability to meet their degree milestones, and approval for leave may not be granted if students are not making sufficient progress. Arrangements must be made with the ADAA to ensure the faculty member's responsibilities to their students' progress are met while away from campus.
- The faculty member shall draft a memo to their Section Chair and Center Director, if applicable, requesting approval for the absence and outlining the plan for continuity in advisory, educational, governance, and required research responsibilities, as discussed with the Section Chair and Center Director, if applicable, ADAA, and ADRAS.
- The Section Chair and Center Director, if applicable, shall forward this request to the VIMS Dean & Director along with an endorsement (if applicable) of the continuity plan and a recommendation for approval/denial of the request.
- Review by the Section Chair and Center Director, if applicable, and Dean & Director will focus on the faculty member's need to be absent from their assigned work location over an extended period, the potential benefit it will bring to the faculty member and the Institute, and institutional needs in terms of research, education, advisory service, and/or governance responsibilities during the faculty member's absence.
- If approval is granted, policies associated with [travel](#), [remote work](#), and [out of state employment](#) must be followed, as applicable.

Note that final approval for absences for research and other scholarly-related activities as described above, and the continuity plan associated with the absences, rests with the Dean & Director. If a faculty member fails to follow the procedure outlined above, and is delinquent

on their job responsibilities as documented by their Section Chair and Center Director, future requests for leave associated with research and other scholarly related activities may be denied.

The Role of the Dean & Director

Final decision on Faculty Research Assignments and absences for research and other scholarly-related activities will rest with the Dean & Director. Institutional and programmatic considerations may affect the timing of absences, and the Dean & Director will work with the faculty member to ensure that the timing is mutually acceptable. Non-academic leaves of absence do not require “approval” by the Dean & Director, but the Dean & Director will review and approve the continuity plan made by the faculty, Section Chair and Center Director, if applicable, ADAA, and ADRAS to cover research, educational, advisory, and governance responsibilities during the faculty member’s absence, and the final document will be forwarded to the Provost as required.

Teaching/Research/Advisory/Governance Responsibilities

In the case of contingency plans for Faculty Research Assignments and non-academic family and medical leave, replacements for educational, governance, mandated research, and/or necessary advisory activities will be the responsibility of the Administration and the affected section, not of the faculty member on leave. In some cases a Research Assignment could be deferred or interrupted because of teaching, research, or advisory duties, but every attempt will be made to provide the necessary support in order to avoid delays or interruption of research leave. Nonetheless, commitments by faculty to advising of graduate students, including commitments associated with membership on graduate committees, shall be honored by faculty while on research leave.

In the case of contingency plans for absences for research and other scholarly-related activities not associated with a SSRL/Faculty Research Assignment or other academic leave, responsibility for these replacements will be on the faculty member with support and guidance from Administration.

*All references to the W&M Faculty Handbook in this document are based on the version of the handbook dated February 2023.

Date: November 8, 2023 original

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

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 William & Mary (W&M) has satisfied any obligations to the college and has the information and assistance necessary to facilitate a smooth transition.

POLICY STATEMENT It is the policy of W&M that a faculty member who terminates his or her employment with the university will return all property, pay all fees and fines, and/or complete all assignments due the university prior to departure. Faculty will verify that all obligations have been met by completing an on-line [clearance process](#). Faculty who retire from the university as Emeriti have a continuing connection 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.

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 submit a formal letter of resignation/retirement to the supervisor and copy the finance officer/business manager. The faculty member's supervisor is responsible for initiating the [clearance process](#). 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 leaves the university without completing the [clearance process](#), the Office of the Provost will take appropriate action, which might include withholding a portion or 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.

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

Rev.: April 27, 2016

Updated.: March, 2021

William & Mary
Virginia Institute of Marine Science
School of Marine Science

**Procedures and Criteria for Appointment, Evaluation,
Retention, Promotion and Award of Tenure¹²³⁴⁵**

of the

Committee on Faculty Status and Tenure Review

May 30, 2018

¹ The current revision incorporates language that brings the document into alignment with PPD 1302 on NTE appointments (approved by PRC 8 April 2013), Memo from Provost Halleran to Deans, dated May 24, 2013 entitled *Promotion and Tenure Files, Faculty Handbook* of William & Mary (2008), the *Bylaws of the Virginia Institute of Marine Science* (approved by the Procedural Review Committee of William & 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 & 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 A draft (dated February 25, 2009) incorporated 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 A draft (10 April 2013) included comments from the FC subcommittee. A final draft was produced by FS&TR (22 February 2018) and passed by vote of the FC on 7 Mar 2018).

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 ensure faculty development. Evaluations for retention, tenure, promotion and post-tenure/post-promotion review are guided by the criteria, general policies and procedures described in William & Mary *Faculty Handbook* Section III.C., Procedures for the Evaluation of Faculty, VIMS Bylaws, and VIMS Policies and Procedures Documents (PPD-1302 and this document PPD-1308). At VIMS these reviews shall be conducted in accordance with the expectations of academic institutions in general (i.e., scholarship, teaching and mentoring, professional and advisory service), consideration of our mission and long-term goals, and recognition of the Institute's unique role within William & Mary (hereafter W&M or the University) 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 (VIMS) and the School of Marine Science (hereafter SMS) of William & Mary recognize and establish faculty appointments within VIMS. The VIMS *Bylaws* (hereafter *Bylaws*) also stipulate the composition and duties of the FS&TR.

A. Composition

Members of FS&TR must be at Associate faculty rank or higher. The FS&TR consists of one tenured faculty member from each Department plus two additional members representing the Faculty at-large. One of the at-large members will be tenured and one will be non-tenure eligible (NTE). The NTE member is not eligible to vote on evaluation of tenured or tenure-eligible (TTE) faculty. Members of FS&TR are elected and serve according to the procedures stated in the *Bylaws*. A majority vote of the eligible voting members of the committee is required for all committee actions. No FS&TR member shall vote on his/her own status or when he/she has a clear conflict of interest. Electronic voting is acceptable in cases where committee members are away from the institute.

B. Duties

The FS&TR will undertake the following duties according to policies, procedures, and criteria approved by the Faculty, and the Dean/Director, reviewed by the W&M Procedural Review Committee, and recorded by the W&M Personnel Policy Committee:

- 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 William & Mary;
- 2) In accordance with established schedules, review the record of Faculty members and make recommendations to the Dean/Director regarding Faculty retention, promotion, the award of tenure, and when required, post-tenure/post-promotion review;
- 3) Review Faculty appeals of annual performance evaluations and provide findings and recommendations to the Dean/Director; and,
- 4) Establish and follow 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

VIMS faculty appointments are made on the basis of the strategic needs of VIMS with regards to research, education, and advisory service. Titles for persons in such appointments are Assistant Professor, Associate Professor, or Professor. (For the purposes of this document, we use the terms Assistant Professor, Associate Professor, or Professor to represent titles for full-time faculty at these ranks. Additional title modifiers may be required as per the Faculty Handbook.) Tenured and tenure-eligible Faculty (TTE) who are not full time administrators are distinguished by an obligation to participate in the graduate education program. Non-Tenure Eligible (NTE) appointments are made on the basis of need with regard to the tripartite mission of VIMS. Individuals holding these appointments must have a level of independence and scholarship equal to that of the TTE faculty. Their responsibilities will be determined by their individual performance profiles (see PPD 1302, PPD-1304, and 1310).

All faculty members, whatever their category of employment, shall be reviewed by FS&TR for initial appointment, retention, promotion, or tenure, if applicable, as specified by the *Faculty Handbook* and relevant VIMS/SMS policies and procedures. The criteria for evaluation are examined in relation to individual faculty profiles. These criteria are:

1. Possession of the professional education, experience and degrees appropriate for their duties;
2. Conscientious and effective teaching and mentoring;
3. Significant contributions to their fields through research and scholarly or creative activity, and through professional and advisory service;
4. Responsible participation in VIMS or W&M governance.

The *Faculty Handbook* states “Each case shall be judged on its own merits and not on comparisons with previous decisions.”⁵ 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 being evaluated: appointment, retention, promotion, or award of tenure. For all faculty, excellence is required in those areas that represent their primary commitments or responsibilities. However, individuals will not necessarily have equal commitments or responsibilities under each criterion. For all faculty, the expectations will be based on their profiles as outlined in their contract and as determined in consultation with the individual’s Department Chair during the annual planning process. This profile will be shared with FS&TR.

An Assistant Professor should hold a terminal degree (usually the Ph.D.) in his/her field of specialization or have comparable research experience, and should demonstrate the potential for research, teaching, and advisory service commensurate with the expectations of the specific position. Promotion beyond this level should indicate that the candidate's potential as a scientist is being realized and that he/she is a valued member of the scientific community at VIMS. In addition, a Tenure-Eligible Assistant Professor is expected to teach and mentor students, and promotion above this level should indicate that the

⁵ William & Mary *Faculty Handbook* (2008), Section III.C.1.b
Page 3 of 15

individual's potential as an educator is being fulfilled.

An 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. Tenured Associate Professors are further expected to have demonstrated experience in teaching and mentoring students, including as major advisor.

A 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. Tenured Professors are further expected to have extensive experience in teaching and will have demonstrated their value as a mentor to their students.

At each of the three ranks above, an expectation of teaching and mentorship may or may not apply to NTE faculty members, depending on their individual profiles. In addition, appointment to the Faculty should reflect a faculty member's commitment to Faculty governance by participation on committees at VIMS or the University.

B. Comments on Evaluation Criteria

Professional Background

Degrees: For Assistant 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 Associate Dean of Academic Studies. Teaching is defined as contributing to the curriculum in a classroom, seminar, or field setting. Mentoring is defined as consistent and substantial service as an academic advisor, especially as a major professor. Committee service is a component of mentoring and is considered in evaluations.

Significant Contributions through Research, Advisory and Professional Service

Professional Communication: Professional communication of the results of research to the scientific community is essential to the scientific enterprise. Such communication influences not only the stature of the faculty member but also that of VIMS and the University as a whole. Publication in refereed media is the appropriate end-product of research and scholarship (see also PPD-1304).

Advisory Work: Service to the Commonwealth means service to the Commonwealth's agencies, Governor's Offices and General Assembly, regional agencies that include Virginia, local governments, industry, public interest groups, and the general public. Advisory service can be measured in terms of advisory publications, reports, effort or other products.

Professional Service: VIMS faculty engage in service to regional, national and international government agencies and to industry, public interest groups and the general public outside of the Commonwealth. 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 University as a whole.

Leadership in one's field is a key criterion for promotion. Leadership and recognition in one's field can be displayed at many levels and include several benchmarks such as the number of first, sole, or co-authored papers published during the evaluation period, number of grants received as principal or co-principal investigator, participation and presentations at national and international meetings and panels, organization of sessions, workshops and meetings, invitations to speak at meetings and symposia, participation as an editor or associate editor for scientific journals and publications, participation as a reviewer for national and international funding agencies (NSF, NIH, EU Science Directive, etc.), organization of research, advisory or educational programs, and similar activities.

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), and future plans in all three areas. Because profiles vary within VIMS and between institutions, the narrative should include a summary of the profile of the candidate over the period of evaluation.
2. **Planning Letter** and **Evaluation** from the most recent annual review cycle. This is not sent out externally in the review package, but is included for internal review.
3. **Curriculum Vitae** in W&M/VIMS format.
4. A **List of External Reviewers** (minimum of six and maximum of eight peers or clients). These must not include collaborators or colleagues with a conflict of interest (see below).
5. A **List of Students and Post docs** mentored, with their contact information
6. **Copies of Publications** (since appointment or previous promotion) (pdfs are acceptable).

In addition, the FS&TR 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, Associate Dean of Academic Studies (based on the candidate's profile), Associate Dean of Research and Advisory Services, the faculty member's Department Chair, other members of the department, the Faculty of VIMS, at large, and present and former students.

External reviewers should come from programs, institutions or agencies of a quality commensurate with the reputation and standards of the University. Letters should be solicited whenever possible from individuals at or above the rank to which the candidate is being promoted.⁶ 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.⁷ Approximately three (3) of the external reviewers will be selected from the list submitted by the individual, and an additional three (3) will be professional peers and clients in the faculty member's field, but external to the University faculty, who are known to the FS&TR.⁸ A minimum of four (4) external letters are required by the Provost, but all letters received will be included in the candidates package.

⁶ Memo from Provost Feiss to Deans, dated September 7, 2006

⁷ Memo from Provost Halleran to Deans, dated May 24, 2013

⁸ Per the September 2006 memo from Provost Feiss, and September 2013 memo from Provost Halleran, 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.

Reviewers chosen by FS&TR are selected based on expert opinion of committee members, by evaluation of the potential reviewers' CVs and available publications, and by their availability to undertake the evaluation. The departmental representative on FS&TR often leads the development of a list of additional reviewers for members of his/her department. The selection process also entails citation searches of the candidate's publications, discussion of reviewers selected by the candidate, discussion of external reviewers selected by members of FS&TR, and then agreement as to the final list of reviewers after their evaluation.

The *Curriculum Vitae* will include the information listed below, following the same format used by W&M 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. Honors and Awards

3. Conscientious and Effective Teaching in Degree-Related Programs (note: profile-dependent for NTE 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

Within Field

Out of Field

Committees at Other Universities

Student Evaluations

Educational Services:

University-Level Programs (outside of W&M)

Elementary and Secondary Level Programs

Public -At Large (separate from Development Office activities)

4. Significant Contributions Through Research and Advisory/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

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, include information on effort and products resulting from this work

Professional Service:

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
Contract Reports (significant final reports only; where possible, include information on any outcome resulting from the product)
Principal Investigator Status

5. Responsible Participation in Department, School and University Governance

Academic Administration
Committee Activity (Elected and/or Appointed)
Virginia Institute of Marine Science
School of Marine Science
William & Mary

D. Minimum Terms

To determine the sustained level of productivity of a faculty member, the normal minimum term before review for promotion to Associate Professor is five (5) years, whereas for review for promotion to Professor, a minimum term of six (6) years at the Associate Professor level is normally 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 evaluations for tenure, promotion, and interim reviews are performed at the proper time during the annual cycle, the FS&TR has established the following three timetables (all dates reflect the desired schedule of considerations):

Table 1. Timetable for promotions to Associate Professor and cases involving tenure decisions.

Date	Procedure
Mid-January	Office of Dean & Director sends list of faculty eligible for promotion to Associate Professor and/or tenure in the coming academic year to the FS&TR and the Department Chairs
Late-January	Department Chairs will discuss the intentions of the eligible candidates
1 st week of June	Office of the Dean & Director sends letter to candidates requesting evaluation materials for promotion to Associate Professor and/or tenure
1 st week of July	Evaluation materials due to the Office of the Dean & Director; Office of Dean & Director will distribute materials to Department Chairs and Chair of FS&TR
Mid-July	Department Chairs will hold a departmental meeting and vote on each candidate's application
Late-July	Department Chair provides FS&TR written results of departmental discussion and vote (note: votes must be recorded)
1 st week of August	FS&TR selects external reviewers and sends names to the Office of the Dean & Director
Mid-August	Office of the Dean & Director sends evaluation package to internal (Associate Deans of Academic Studies and Research & Advisory Services, and faculty at large) and external evaluators
1 st week of October	Receipt of internal and external evaluation letters
3 rd week of October	Draft FS&TR decision letters forwarded to candidates
Mid-November	FS&TR sends final recommendation and Associate Professor/tenure packages to the Dean & Director
Mid-December	Dean & Director sends decisions and Associate Professor/tenure packages to Provost
February	Board of Visitors makes decision on Associate Professor promotion and tenure cases

Table 2. Timetable for promotion to Professor

Date	Procedure
Mid-January	Office of Dean & Director sends list of faculty eligible for promotion to Professor in the coming academic year to the FS&TR and the Department Chairs
Late-January	Department Chairs will discuss the intentions of the eligible candidates
Mid-July	Office of the Dean & Director sends letter to candidates requesting evaluation materials for promotion
Mid-August	Evaluation materials due to the Office of the Dean & Director; Office of Dean & Director will distribute materials to Department Chairs and Chair of FS&TR
Early-September	Department Chairs will hold a departmental meeting and vote on each candidate's application for promotion to Professor
Mid-September	Department Chair provides FS&TR written results of departmental discussion and vote (note: votes must be recorded)
1 st week of October	FS&TR selects external reviewers and sends names to the Office of the Dean & Director
Mid-October	Office of the Dean & Director sends evaluation package to internal (Associate Deans of Academic Studies and Research & Advisory Services) and external evaluators
1 st week of December	Receipt of internal and external evaluation letters
Mid-January	Draft FS&TR decision letters forwarded to candidates
1 st week of February	FS&TR sends final recommendation and promotion package to the Dean & Director
1 st week of March	Dean & Director sends decisions and promotion package to Provost
April	Board of Visitors makes decision on promotion to Professor cases

Table 3. Timetable for Interim reviews.

Date	Procedure
Mid-January	Office of Dean & Director sends list of faculty up for interim review in the coming academic year to the FS&TR and the Department Chairs
Late-January	Department Chairs will discuss the interim review with the faculty member during the annual evaluation process
Mid-August	Office of the Dean & Director sends letter to candidates requesting materials for interim review
Mid-September	Interim review materials due to the Office of the Dean & Director; Office of Dean & Director will distribute materials to Department Chairs and Chair of FS&TR
Early-October	Department Chairs will hold a departmental meeting and vote on retention or to terminate the faculty member's appointment
Mid-October	Department Chair provides FS&TR written results of departmental discussion and vote (note: votes must be recorded)
1 st week of November	Office of the Dean & Director sends interim review package to internal (Associate Deans of Academic Studies and Research & Advisory Services) reviewers
1 st week of December	Receipt of internal evaluation letters (Note: external letters not requested for interim reviews)
Mid-January	Draft FS&TR decision letters forwarded to candidates
Mid-March	FS&TR sends final recommendation and tenure package to the Dean & Director
Mid-April	Dean & Director sends interim review materials to Provost

IV. Evaluation Procedures for Appointment, Retention, Promotion, and Award of Tenure

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

All nominees for an initial appointment to the VIMS Faculty shall be reviewed before release of the "Letter of Intent to Employ" or any other official offer of appointment. The Dean/Director shall, before the offer of appointment, forward to the FS&TR all materials pertinent to evaluation of the candidate selected for any position (including but not limited to the curriculum vita, 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 or 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 any specific recommendations regarding any required probationary period before the award of tenure, tenure review, or promotion. 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. The Dean/Director and FS&TR should attempt to reach a consensus 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 should clearly state the rank and type of appointment offered, the amount of prior service (if any) credited toward tenure or promotion, and the year for the interim review by FS&TR (accounting for prior service credited toward tenure or promotion). Although VIMS recognizes prior service at other institutions of higher learning, and may give credit for such service, the Dean/Director in consultation with FS&TR reserves the right to require a probationary period of employment before an award of tenure or promotion 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 indicate the schedule for an interim review unless a tenure or promotion 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

Unless otherwise noted, the same procedures and review processes are used for evaluation, retention and promotion of both TTE and NTE Faculty. The first review, or interim review, following initial appointment shall occur no earlier than the fourth semester and no later than the sixth semester of the appointment, unless another period is stipulated in the Letter of Intent to Employ and initial contract, or unless a tenure or promotion review is scheduled within the first three years of the appointment. The purpose of the interim review is to assess each faculty member's progress toward and potential for a positive promotion or tenure decision, and may result in a recommendation for improvement or a recommendation against retention. The FS&TR shall review all materials received and develop a recommendation for improvement, retention, or other actions. FS&TR shall then provide a draft copy of the evaluation and recommendation to the candidate at least ten (10) working days before submission of the final recommendation to the Dean/Director and Department Chair.

In most situations the second review, or promotion review, following initial appointment shall occur at the beginning of the fifth year of employment. The purpose of the review is to evaluate the individual for promotion to Associate Professor and, for TTE faculty, the award of tenure. Note that the conditions for extension of the promotion or tenure review time period are outlined in the *Faculty Handbook* III.C.1.b.ii. Requests for extension of the tenure review period must be made to the Provost prior to March 15 of the

year in which the review for tenure is to occur and certainly before any actions have been taken in the tenure review process. In rare cases, the faculty member, with the approval of the Department Chair and the Dean/Director, may initiate an earlier review for promotion or tenure in advance of the scheduled review date.

On or about 15 January each year, the Dean/Director shall notify those individuals who are subject to retention, promotion and/or award of tenure review during the coming academic year. The Dean/Director will also notify FS&TR 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 subject to retention, promotion or tenure review shall be given written notification by the Dean/Director on or around 1 June 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 submit to the Dean/Director all requested materials (see list in III, B; other materials may be provided as deemed appropriate by the Candidate) according to the timelines in Tables 1 to 3. With the exception of the interim review, a list of external reviewers (see section 3.C.) is required with the review materials submitted by the Candidate. Reviewers should be from programs, institutions or agencies of a quality commensurate with the reputation and standards of William & Mary⁹. Reviewers should not have a conflict of interest with the Candidate. It is the responsibility of each Candidate to respond to the request in accordance to the stipulated timeline; failure to do so may result in no action being taken by the Department or the FS&TR Committee. The Dean/Director will distribute evaluation materials to the Department Chair and Chair of FS&TR.

Following the timelines in Tables 1 to 3, the Department Chair will send a copy of the materials submitted for review by the Candidate, excluding the list of external reviewers, to the faculty of the department. Faculty within the Candidate's department will meet to discuss the merits of the Candidate, and faculty of equal or higher rank will indicate by voting whether they support retention, promotion or the award of tenure. NTE faculty may not vote on promotion or tenure of TTE faculty. However, NTE faculty at the appropriate rank may vote on the promotion status of other NTE faculty.

After the discussion, the Department Chair will summarize in writing the Department's vote tally and 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 with the vote tally as indicated below. For promotions not involving tenure (i.e., promotion from Associate to Full Professor), the candidate has the option to withdraw his/her application at this time. However, the Candidate may also request that his/her materials be reviewed by FS&TR in full knowledge of the Departmental discussion. All Candidates due for consideration of retention, promotion to Associate Professor or 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 according to the timeline in Table 1 to 3. The Department Chair's letter should contain the faculty vote tally, an evaluation of the candidate's teaching and research abilities, and the Chair's recommendation for or against promotion. Because the vote tally is shared with the candidate, the Chair may also provide a separate letter if a more candid assessment of the candidate's abilities is needed.

FS&TR will select the external reviewers and send the names to the Dean/Director by the times specified in Tables 1 to 3. Materials for promotion and tenure reviews (Candidate's CV, narrative statement, and publications, as well as an overview for reviewers of FS&TR guidelines for tenure/promotion) will then be sent to external reviewers. The external reviewers will be asked to evaluate the candidate's effectiveness in the areas of research, teaching and advisory service. At the same time, FS&TR will also

⁹ Provost Feiss's memo to Deans, September 2006, and Provost Halleran's memo to Deans, May 2013
Page 11 of 15

make each Candidate's CV, narrative and publications available to internal reviewers (Associate Dean of Academic Studies, Associate Dean of Research and Advisory Services, and the VIMS Faculty at large) 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. Tenured faculty of equal or higher rank will indicate by voting whether they support retention, promotion or the award of tenure on a case-by-case basis. NTE faculty on FS&TR may not vote on Tenured or Tenure-eligible promotions. However, NTE faculty at the appropriate rank may vote on the promotion of NTE faculty. FS&TR 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 additional materials as 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 University 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.

For NTE and TTE faculty, in the case of a negative decision on retention, tenure, or promotion to Associate Professor, termination of faculty appointments at VIMS will follow the procedures outlined for TTE faculty in the *Faculty Handbook* Section III.C.1. 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 in the timetables given above (Tables 1-3).

V. Evaluation Procedures for Post-Tenure/Post-Promotion Review

NB: Except as noted, this next section is derived almost unchanged from the 2008 Faculty Handbook; minor edits have been made to tailor it to VIMS specifics in terms of administrative units and document names.

As stated in the *Faculty Handbook*, the purpose of this 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" Post-tenure/post-promotion review at VIMS is conducted in accordance with the standards and procedures outlined for "post-tenure review" in Section III.C.1.c of the *Faculty Handbook*.

At VIMS, post-tenure/post-promotion 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/post-promotion review is conducted by FS&TR. This review shall commence by or before the beginning of the next academic year and be completed by the end of the fall semester. 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/post-promotion 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, 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/post-promotion 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 (45) 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/post-promotion 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/post-promotion 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 review process for an individual faculty member if the Provost decides that it is in the University's interest to do so.

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 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 upon request. External reviewers are notified of this potential request. Copies of materials submitted for review may be distributed to a committee member during a review and shall be held in the strictest confidence. Any duplicate materials shall be returned to the Committee Chair upon completion of the review and shall be destroyed immediately. Only the original review materials shall be retained as a record of committee action as stipulated above.

Record Storage and Retention: Documentation associated with cases for promotion and retention 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.

Number: PPD - 1309
Subject: Affiliated Scholar Appointments

1. Policy

Appointment as an Affiliated Scholar member in the Virginia Institute of Marine Science/School of Marine Science faculty (VIMS/SMS) is reserved for those individuals outside of VIMS who offer special expertise that may enhance and enrich VIMS' research, educational, and/or advisory programs. Nominations and appointments for VIMS/SMS Affiliated Scholar should fulfill specific needs within a department or center. Appointments are also intended to benefit the appointee by affording access to the resources, facilities, or reputation of VIMS.

2. Requirements for Nomination and Appointment to the Affiliated Scholar

Generally, it is expected that nominees shall be widely recognized for their intellectual achievement. They must demonstrate a level of professional achievement and experience appropriate to the proposed appointment and must meet the professional, experiential, and scholarly preparation criteria and requirements established in accordance with the Bylaws of the Virginia Institute of Marine Science for appointment to the VIMS/SMS faculty.

3. Nomination and Appointment Procedures

3.1. Nomination for Affiliated Scholar are initiated by the department or center in which the appointment will be made and forwarded by the department chair or center director to the Faculty Council. The recommendation shall be accompanied by a written statement in which the reasons for the Affiliated Scholar appointment are specified and the expected benefits accruing to both the applicant and VIMS are articulated. The application should indicate which facilities or other resources of VIMS might be utilized by the nominee (See Section 4).

3.2. The Faculty Council will review the nominee's qualifications, appointment rationale, and any supporting materials and forward the nomination with its recommendations and comments to the Dean and Director. The Faculty Council will be guided in its review by the standards and criteria applied to appointment of regular VIMS/SMS faculty.

3.2.1. When a nominee is intended to participate in the SMS educational program as either an instructor or mentor, the Faculty Council shall seek the advice of the Academic Council in developing its recommendation to the Dean and Director.

3.3. The Dean and Director will review the recommendation of the Faculty Council and in consultation, as appropriate, with the Director for Research and Advisory Services and/or the Associate Dean of Academic Studies, will on the nomination and subsequently will inform the department and the Faculty Council of the action.

3.4. Affiliated Scholar appointments at VIMS/SMS do not require approval of the Provost or the Board of Visitors.

3.5. Affiliated Scholar appointments at VIMS/SMS shall be for specified terms not to exceed three years. Renewal of an appointment shall require an application for reappointment. The application for reappointment should be submitted to the Faculty Council by the department or center in which the appointment resides. The application should be a written request providing evidence that a meaningful interaction between the Affiliated Scholar member and VIMS has occurred and that the expected benefit outlined in the original application has been realized and is likely to continue.

3.6. Recommendations of the Faculty Council and decisions by the Dean and Director may not be appealed.

4. Rights and Privileges of Affiliated Scholar at the Virginia Institute of Marine Science

4.1. While appointment as an Affiliated Scholar, VIMS/SMS faculty may permit the use of equipment, instruments, or other facilities at the Institution, such use is at the discretion of the sponsoring department or center and does not infer a commitment by the department, center, or Institution to provide funding, facilities, or equipment.

4.2. The Affiliated Scholar appointment entails no tenure, tenure eligibility, or voting rights.

4.2.1. Voting privileges on Special Committees may be conferred by the Faculty Council or Academic Council as appropriate.

4.3. With prior approval as indicated below, individuals holding Affiliated Scholar appointments may participate in teaching or mentoring in those areas that are directly related to their own demonstrated expertise.

4.3.1. In teaching, an individual holding Affiliated Scholar appointment may co-teach or serve as primary instructor only in those courses for which he/she has been formally approved by the Academic Council.

4.3.2. In mentoring, an individual holding Affiliated Scholar appointment may serve as a member of a student's advisory committee. Service as co-major advisor must be approved by the Academic Council on a student-by-student basis.

Number: PPD – 1310
Subject: Procedures for Faculty Profile Expectations

Overview

Most faculty of the Virginia Institute of Marine Science (VIMS) have substantive involvement in all three parts of VIMS’ mission: Research, Education and Advisory Service. All faculty who are not full-time administrators (herein referred to simply as faculty) are expected to be involved in research. Faculty who receive state funding are also expected to be involved in the advisory part of the mission and to participate in governance. In addition, tenured and tenure-eligible (TTE) faculty have explicit base expectations for teaching and mentoring.

It is not expected that all faculty will have identical performance profiles. Deviation from the base profile will be planned at the beginning of each calendar year by faculty members in concert with their Department Chair, Center Director (when appropriate), and the administration. Education and advisory expectations and planning letters must be approved by the Associate Dean of Academic Studies (ADAS) and Associate Dean of Research and Advisory Services (ADRAS), respectively, in order to ensure that the needs of the academic and advisory programs are met. The Final approval rests with the Dean and Director. The ADAS and the ADRAS will be actively involved in the identification of appropriate activities for every faculty member throughout the course of each year, and it is recognized that many faculty members may have higher percentages of effort devoted to the education and advisory components of the mission than specified by the base performance expectations. Buyout or release time from education and/or advisory responsibilities may be possible for limited periods with prior approval of the department chair, ADAS, ADRAS, and the Dean and Director.

Base Faculty Profile Expectations			
	Hours	Days	
Total	2080	260	100%
Research and Professional Service	1456	182	70%
Education*	312	39	15%
Advisory Service to Virginia	208	26	10%
Governance	104	13	5%

*Applies to TTE faculty. Base expectations for education for Non-Tenure Eligible (NTE) faculty vary by individual.

From the above table,

Research and Professional Service includes:

- Proposing, conducting, and reporting basic and applied research appropriate to the broad institutional mission.
- Service to regional, national, and international entities in furtherance of VIMS' role as a center of excellence in coastal and marine science.
- Service on internal committees in support of the research mission (when not included under Governance).

Education includes:

- Participation in the School of Marine Science (SMS) program through teaching, advising, and student committee service.
- Participation may also include teaching in other W&M curriculums as approved by ADAS and the department.
- Service on internal committees in support of the education mission (when not included under Governance).

Advisory Service to Virginia includes:

- Participation in activities that support VIMS advisory mission to the Commonwealth of Virginia, including but not limited to consultation with local and state agencies, and appropriate regional, national, and international as approved by the Associate Dean for Research and Advisory Services, conduct of directed research, service on internal committees, and delivery of position statements to stakeholders.

Governance includes:

- Participation in activities that support the institution (and William & Mary as appropriate) through service on various committees, elected or appointed, that make recommendations on broad institutional-level policy.

Further detail on activities and criteria for annual merit evaluation is given in PPD-1304.

General Provisions

This document is intended to make explicit the obligations of every faculty member at VIMS to engage in the various missions of VIMS. It is understood that effective engagement in the education and advisory missions cannot be an ad-hoc arrangement. Rather, faculty members will work in concert with the administration to identify and pursue activities that are judged by the ADAS, ADRAS and Department Chairs to meet the needs of the educational and advisory obligations of VIMS. The ADAS and ADRAS will be proactive in this process as their role in approving activities is critical to ensuring that the needs of the VIMS mission are fully met.

These profile expectations set a level of effort (percent of total effort) that faculty members can anticipate being obliged to provide unless not required by VIMS. It is anticipated that profiles

will continue to vary across faculty, but this document seeks to make clear the fact that variations will be a result of collaborative decisions between faculty members and the administration, guided first and foremost by the needs of VIMS. Thus, the opportunities that an individual faculty member will have to negotiate a profile that differs from the base expectations will be constrained by the needs of VIMS, and those needs will be identified and communicated by the administration (Department Chairs in coordination with the ADAS and ADRAS). It is likely that individual performance profiles will vary through time, necessitating evaluations that consider activities over more than a single year.

The expectations do not supplant the annual evaluation process. The expectations merely identify a level of obligation or starting point for involvement, and annual evaluations are independent of the actual level at which involvement occurs. Performance in each area will be evaluated according to established procedures with a focus on equitability across all units of VIMS.

Research activities are meant to include all of the long-standing activities of VIMS faculty in basic and applied projects, as well as professional service. They are largely self-directed. Evaluations of performance will continue to be based on the metrics specified in the PPD-1308 “Procedures and Criteria for Appointment, Evaluation, Retention, Promotion and Award of Tenure of the Committee on Faculty Status and Tenure Review.” These include, but are not limited to, publications in journals, success in grant and contract awards, giving oral presentations, and related scholarly activities.

Educational engagement is meant to include all of the activities that contribute to the SMS objectives and may include efforts that contribute to other curriculums at W&M such as undergraduate teaching and mentoring. Expectations for individual faculty members will be set in the context of the needs of the overall educational program and the individual skills of faculty members. It will be the responsibility of the ADAS, in collaboration with the Academic Council, to identify activities that fulfill this obligation.

Advisory service to the Commonwealth includes activities that directly address the needs of the State. Advisory service is a key element in VIMS’ relationship with the state, and an obligation that attends the support that the state provides. It will be the responsibility of the ADRAS to identify activities that fulfill this obligation as well as the need for individual faculty member engagement. There are other significant advisory efforts by VIMS faculty in regional, national and international forums, and all of these have value in the annual evaluation under professional service.

Faculty governance is an important responsibility of the faculty. Governance activities typically involve participation on elected or appointed deliberative bodies of VIMS and/or William & Mary. 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.

Base Educational Expectations

Unlike the research and advisory service parts of the VIMS mission, base expectations for participation in the education program can be readily quantified.

Classroom Teaching Expectations

1. It is a base expectation that all TTE faculty will participate in classroom teaching in the graduate and/or undergraduate programs at VIMS and William & Mary.
2. The specific teaching needs of departments will be determined by department chairs in consultation with their faculties and the ADAS. VIMS-wide teaching needs will be determined by the ADAS with input from Department Chairs and, when appropriate, Co-Directors of the Undergraduate Minor Program. The primary obligation of the School of Marine Science (SMS) faculty is to the graduate program at VIMS. The SMS faculty is also fully committed to supporting the undergraduate minor in marine science. Graduate level courses at VIMS and required courses to support the undergraduate minor in marine science will take precedence over either graduate or undergraduate courses taught at William & Mary.
 - a. The *base* course teaching expectation is one three-credit course per year, which may be team-taught. However, two-credit graduate core courses or two-credit courses required for the Undergraduate Minor in Marine Science can fulfill the base course requirement. The course load for a faculty member will be determined as a running average over a three-year period.
 - b. The ADAS and Academic Council supports team teaching but defines a team-taught course as involving two instructors who are fully engaged (i.e., attend all lectures, discussions, etc.) and who each provide more than one-third of the lectures.
 - c. Although MS 698 courses can fulfill part of the three-credit base teaching requirement, they must not be the sole offerings of a faculty member over a three-year average period.
 - d. Department Chairs, with the oversight of the ADAS, will ensure that the teaching needs of their departments are met by their faculties.

Mentorship Expectations

1. TTE faculty are expected to serve as major advisor for at least one VIMS graduate student (or co-major advisor for two students). The mentoring load for a faculty member will be determined as a running average over a three-year period. Advising cannot substitute for classroom instruction.
2. TTE faculty are expected to serve on thesis or dissertation committees. Credit for a VIMS faculty member advising a graduate student in a department at William & Mary outside the SMS will be considered by the member's Department Chair on a case by case basis, assuming educational needs of the department are met.
3. Other mentorship contributions worthy of recognition include supervision of postdoctoral researchers, W&M undergraduate students, REU summer students, and Governor's School students. But these mentorship activities cannot substitute for graduate student advising.

Governance/Other

Contributions to the education program worthy of recognition include, but are not limited to, leadership of the Academic Council and its sub-committees, leadership of departments,

contributions to ad-hoc education committees established by the ADAS and/or Dean and Director, and service as an exam moderator. These activities cannot substitute for teaching or mentorship.

This document is authored by the Dean and Director with significant input from the Faculty Council and Academic Council.

Date: March 19, 2013

Rev.: December 2016

Number: PPD – 1311
Subject: Junior Faculty Mentoring Program

Background

As new faculty join the Virginia Institute of Marine Science (VIMS), it is a foremost goal that they become successful and productive scientists who contribute effectively to the VIMS mission of research, education and advisory service (see PPD-1310 for faculty profile expectations). Regardless of whether the junior faculty member is new to the faculty role in academia, or simply new to VIMS, mentoring can provide guidance in the process of building a productive scientific career.

Policy

The Junior Faculty Mentoring Program consists of two tiers.

Tier I is a primary program in which participation is expected of all tenure-eligible (TE) and non-tenure eligible (NTE) faculty who enter VIMS at the assistant professor level. New faculty joining VIMS at the associate or full professor level are strongly encouraged to participate.

Tier II is a secondary program in which more directed and regular mentorship is provided to the junior faculty by a two-person committee of senior faculty. Participation in the Tier II program is voluntary – though also strongly encouraged – and limited to junior faculty (assistant and associate professors).

Procedure

1. Tier I: Mandatory Junior Faculty Mentoring Program – This portion of the program is integrated into the standard *Faculty Annual Review* process and includes:
 - a) An administration-led series of *Junior Faculty Orientation Sessions* (scheduled upon arrival of new faculty)
 - b) Annual informal group meetings with the FS&TR committee (ongoing activity)
 - c) The *Faculty Annual Review* process and associated meetings with department chairs and relevant center directors (ongoing activity)
 - d) One additional annual formal meeting approximately six-months following the *Faculty Annual Review* meeting. This meeting with the department chair/center director will serve as an opportunity to informally evaluate progress on goals set forth during the preceding *Faculty Annual Review* and discuss any other issues related to progress towards promotion.

2. Tier II: Optional Junior Faculty Mentoring Program – This portion of the mentoring program is derived from the desire of VIMS junior faculty to better understand whether they are focusing efforts in the “correct” place to achieve stated career goals (tenure, development of disciplinary expertise, etc.); this concern can also be simplified as a desire to better know “which questions to ask”. The primary goal of the Tier II mentoring program is to provide guidance to junior faculty as a supplement to that associated with the *Faculty Annual Review* process. It is also designed to provide an informal setting in which to discuss junior faculty development and engagement across the three parts of the Institute’s mission.
 - a) Mentorship Team – Two-person mentorship team for each junior faculty. One mentor will be from the junior faculty member’s department/center and one will be from outside the department/center but within VIMS. Prospective mentors will be selected by the junior faculty. Mentors can be TE or NTE faculty but must be at the associate professor or full professor level. To ensure proper guidance, mentor teams should consist of senior faculty with profiles commensurate with the junior faculty profile. As this mentorship team is designed to provide guidance beyond that presented through the *Faculty Annual Review* process, the individual’s department chair/center director would be ineligible to serve as a mentor. However, the chair/director may assist the junior faculty in identifying prospective mentors and facilitate the participation of the external mentor. Meetings between the junior faculty and each of the two mentors would be expected to occur regularly (e.g. quarterly); however, there would be no formal reporting requirements.
 - b) Suggested Mentorship Topics – Primary mentorship topics are to be determined through consultation between the junior faculty and each of the two mentors. Key areas of emphasis include, but are not limited to, the following: research funding; graduate student mentoring; course instruction; advisory service to Virginia; navigating institutional culture; building a diverse and inclusive lab group; and development of a research profile and known expertise among broader disciplinary community.
 - c) Mentor Team Responsibilities and Recognition – The internal and external mentors will commit to participation in regular meetings with the junior faculty and remain generally available between meetings. Mentors are also expected to proactively reach out to the junior faculty on a regular basis and provide resources or insights as available. Finally, mentors are expected to maintain open communication with the junior faculty member’s department chair/center director to ensure integrative and consistent feedback reflective of requirements for both promotion and annual review.

Implementation

The Junior Faculty Mentoring Program will be instituted at the department/center level with oversight and support from the VIMS administration.

Date: May 2020, based on proposal dated February 2016

Number: PPD - 1312
Subject: Faculty retirement and post-retirement activities

Introduction

Faculty contributions to research, teaching, and advisory services are central to meeting our institutional mission. As individual faculty prepare to retire it is important that a thoughtful and intentional plan is established to allow the individual and the Institute to plan accordingly. Much like the start-up package at the initiation of a faculty member's tenure at VIMS, this PPD establishes a process for creating a 'wind down' package to ensure that individual and institutional needs are met.

Eligibility

Faculty members holding full-time continuing appointments are eligible for the wind down process described herein.

Process and Timeline for Retirement planning

To allow for appropriate planning associated with research, teaching, and advisory service responsibilities, a faculty member intending to retire is requested to begin that conversation with their Section Chair and Center Director, if applicable, and the Dean & Director's office at least **three years** in advance of the proposed retirement date. This timeframe is consistent with the [William & Mary Faculty Handbook Section III.B.5e](#). To allow for smooth transition of grants that may continue after the retirement date, faculty members may be required to have other institutional faculty members serve as co-PIs on existing grants and grants submitted during the wind down timeframe. Effort should be made to spend down existing accounts during this period. When notification of an upcoming retirement is given, discussions may occur regarding coverage of faculty unfundedness.

Post-retirement status

Emeritus status: as defined and outlined in the [William & Mary Faculty Handbook Section III.C.1e](#)

Faculty wishing to be considered for Emeritus status should notify their Section Chair and Center Director, if applicable, and the Dean & Director's office during retirement planning discussions (at least three years in advance of the anticipated retirement date, as noted above). Following the procedure outlined in the [Faculty Handbook Section III.C.1.e](#), Emeritus status will be voted on by the faculty member's Section. The Section Chair will forward the recommendation for Emeritus status to the Dean & Director, who will forward the recommendation to the Provost for

approval by the Board of Visitors.

Adjunct status:

Retiring faculty members may request to return to work at the Institute in a reduced capacity with Adjunct status. This type of paid appointment is part-time, temporary, restricted and may be used to address short-term needs in education, research, or advisory service. Approval to return as an Adjunct is at the discretion of the Dean & Director and will be made on a case-by-case basis based on institutional needs. Retired faculty returning to work as Adjuncts must follow the [W&M Faculty Retirement and Return to Work \(FRRW\) Policy](#), which outlines eligibility and the process by which FRRW agreements can be established. Please note that this policy specifies that:

1. Part-time, temporary restricted employment following retirement is not a faculty right, but is arranged on mutual understanding of the faculty member, and the Section Chair and program[/Center Director], if applicable, with the approval of the Dean.
2. Any agreement for reemployment (a “FRRW agreement”) must be in writing, but may not be offered until after retirement.
3. Faculty in the FRRW program may earn no more than 50% of their pre-retirement salary.

Typical FRRW agreements at VIMS will be issued for 1 year, renewable annually for up to 3 years, not to exceed a total of 5 years.

Individuals wishing to be considered for Adjunct status after retirement should indicate so during their retirement wind-down discussions. However, HR policy mandates that negotiations regarding the terms of Adjunct status (and associated approval) cannot be discussed until after retirement and the mandatory waiting period between retirement and reemployment. Once this waiting period has passed, the retired faculty member should contact the Dean & Director’s office to begin discussion of Adjunct status.

Retired faculty that have Adjunct status are part-time and do not accrue retirement or other benefits, pursuant to regulations of W&M, the Virginia Department of Human Resource Management, and the Virginia Retirement System. Adjunct faculty may participate in faculty governance but may not vote.

Policies Guiding post-retirement activities associated with Emeritus and Adjunct faculty:

1. **Space:** Laboratory space will revert to central administration at the faculty member’s retirement date. Office space, if available, will typically be provided for up to three years following the faculty member’s retirement date. Space negotiations will be part of the wind-down package and considered on a case-by-case basis based on space availability, institutional needs, and the needs of the retired faculty member.

2. **Internal Funding:** Spending of a faculty member’s indirect cost (IDC) and fixed price variance (FPV) accounts should happen during the wind-down phase prior to retirement. Any exceptions for spending remaining fund’s as an Adjunct must be negotiated as part of the Adjunct status

approval process (noted above), and priority will be given to meeting the needs of any remaining students supervised by the faculty member at retirement.

3. External grants and proposals: Retired faculty with Adjunct status who have active grants that extend beyond the typical three-year time limit for Adjunct status shall negotiate appropriate steps (which may include transferring the grant to a new Principal Investigator [with agency approval] or returning a portion of the funding) with the Dean & Director (or designee). Retired faculty with Adjunct status may not serve as PI on any new grant proposals or funding efforts. Serving as co-PI on grant proposals or funding efforts submitted after retirement will be determined on a case-by-case basis and will require written approval from the Dean & Director, who will consult with the Associate Dean for Research & Advisory Service and the Chief Financial Officer. Decisions regarding co-PI approval will be based on the benefit the activity will bring to the Institute.

Date: November 8, 2023 original