



**UNIVERSITY**  
**AND**  
**UNIVERSITY OFFICERS'**  
**MANUAL**

Office of the Senior Vice President and Provost  
University of Vermont

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## PREFACE

### UNIVERSITY IDENTITY

#### **University Name and Status.**

The official name of the institution is The University of Vermont and State Agricultural College. The Latin name, *Universitas Viridis Montis*, is the source of the popular abbreviation "UVM." Pursuant to Charter amendments adopted by the state legislature in 1955, the University of Vermont and State Agricultural College ("University") is a body corporate that shall be "recognized and utilized as an instrumentality of the state for providing public higher education." The University is also a tax-exempt organization under section 501(c)(3) of the Internal Revenue Code and a nonprofit corporation incorporated and registered to do business in the State of Vermont.

#### **University Motto.**

The motto of the University, "*Studiis et Rebus Honestis*," selected before the University's first graduation in 1804, comes from the *Epistles* (I.ii.36) of Horace and may be freely translated as "Integrity in Theoretical and Practical Pursuits."

#### **University Seal.**

The University first adopted an official seal in 1807. The seal depicts the sun rising over the Green Mountains with the original "college edifice" (now the remodeled Old Mill) in the upper foreground, and a diagram of the Pythagorean Theorem, a quadrant, and a globe in the lower foreground. The outer ring of the oval includes the motto "Universitas V. Montis. A.D. 1791." "Collegiumque Agriculturae" in an inner ring notes the establishment of the College of Agriculture in 1865. From 1891 until 1975, the original seal was replaced with a round seal developed to include the College of Agriculture. In 1975, the University Board of Trustees approved a return to the original oval seal, modified to include the College of Agriculture representation within the inner ring of the oval.

#### **University Colors.**

The colors of the University are green and gold.

#### **University Mascot.**

The mascot of the University is the Catamount.

**University Mace.**

The mace is the symbol of the authority of the Board of Trustees as vested in the President. It resides in the office of the President and is carried by the Faculty Senate President, who serves *ex officio* as the University Marshal, at the head of official academic processions.

**University Registered Marks.**

Registered trademarks identifying the University and its programs, services, and activities are the property of the University, protected under state and federal trademark law. For information regarding marks registered to the University and use of University trademarks, see the University *Board of Trustees' Policies, Operations, and Planning Manual* and the University Trademarks Policy.

## **PART 000 THE UNIVERSITY MANUAL**

### **010 Description.**

The University and University Officers' Manual ("University Manual") compiles certain policies regarding the governance, structure, and administration of the institution. Additional institutional policies appear on the University policies webpage (<http://www.uvm.edu/~uvmppg/ppg>) and in catalog statements; college, school and departmental policies, standards, and guidelines; the Staff Handbook; the Faculty Handbook; and collective bargaining agreements applicable to represented faculty and staff. Questions regarding interpretation and implementation of the University Manual may be directed to the Office of the Senior Vice President and Provost, 85 South Prospect Street, 348 Waterman Building, Burlington, VT 05405-0160, (802) 656-4400, [Provost.Office@uvm.edu](mailto:Provost.Office@uvm.edu).

### **020 Adoption and Revision.**

The University Manual shall be maintained by the Office of the Senior Vice President and Provost. Its provisions may be revised only in accordance with the governance principles and protocols set forth in the University Charter, the University Bylaws, the resolutions of the Board of Trustees, and the Faculty Senate Constitution and Bylaws. The Senior Vice President and Provost shall periodically review the status of the University Manual and consult with the Executive Council of the Faculty Senate to ensure that proposed revisions to the University Manual are undertaken by persons or bodies having jurisdiction over such matters under governance requirements.

### **030 Conformance.**

#### **030.1 Applicable Law.**

The University Manual shall be interpreted and applied in a manner consistent with federal and state law including, without limitation, state labor relations law.

#### **030.2 Rule of Precedence.**

Except as otherwise stated in the University Manual or as required by law, the following descending order of precedence shall apply in the event of conflicts between policies, standards, procedures, or guidelines: University Charter; University Bylaws; Board of Trustees' resolutions; University policies, including the provisions of this Manual and legislation of the Faculty Senate; college or school policies; departmental policies. In addition, University faculty and staff may be subject to the provisions of handbooks or collective bargaining agreements, and the provisions of such agreements shall prevail in the event of a conflict with provisions of the University Manual.

## **PART 100 THE UNIVERSITY COMMUNITY**

Note: The following University community statements are non-exclusive. See section 010 for a listing of other institutional policy statements.

### **101 Mission, Key Purposes, and Goals**

The University of Vermont is a distinguished institution with a proud history, based on a strong intellectual community and a concern for the quality of life in the communities that it serves. UVM combines the intellectual resources and breadth of opportunity of a research university with the close student-teacher interactions typical of a liberal education, and supports its mission through the effective use of technology.

Our aspirations reflect our values, which include:

A commitment to rigorous intellectual inquiry and critical thinking;

An abiding concern for the environment, health, and liberal education;

A strong commitment to diversity in the student body, the faculty and staff, and the curriculum;

A willingness to address difficult societal issues with honesty, civility, and practicality. We are a community that values respect, integrity, innovation, openness, justice, and responsibility and promotes the intellectual capacity to engage in ethical decision making; and

An appreciation of our commitment to the State of Vermont and our land-grant heritage.

#### **101.1 Vision**

To be among the nation's premier small research universities, preeminent in our comprehensive commitment to liberal education, environment, health, and public service.

#### **101.2 Missions**

To create, evaluate, share, and apply knowledge and to prepare students to be accountable leaders who will bring to their work dedication to the global community, a grasp of complexity, effective problem-solving and communication skills, and an enduring commitment to learning and ethical conduct.

#### **101.3 Strategic Goals**

Therefore, to realize our vision to be among the nation's premier small research universities ([UVM Strategic Plan](#)), we must take these actions.

- **Diversity:** Build a diverse and globally aware university community sustained by an inclusive, supportive, and just campus climate.
- **Academic Programs:** Increase the quality and stature of academic programs and align undergraduate and graduate education with institutional priorities.
- **Scholarship:** Focus and strengthen research, scholarship, and the creative arts, and develop outstanding graduate programs that support the creation and sharing of knowledge.
- **Student Experience:** Provide a distinctive university experience that prepares students for success as accountable leaders in the 21st century.
- **Institutional Efficacy:** As an institution, model the highest standard of ethical conduct, accountability and best practices, public service, and strong commitment to lifelong learning.

## 102 Our Common Ground

The University of Vermont is an educationally purposeful community seeking to prepare students to live in a diverse and changing world. We who work, live, study, teach, do research, conduct business, or participate in the University of Vermont are members of this community. As members, we believe in the transforming power of education and agree to help create and foster an environment where we can discover and reach our true potential.

We aspire to be a community that values:

**RESPECT.** We respect each other. We listen to each other, encourage each other and care about each other. We are strengthened by our diverse perspectives.

**INTEGRITY.** We value fairness, straightforward conduct, adherence to the facts, and sincerity. We acknowledge when things have not turned out the way we had hoped. As stewards of the University of Vermont, we are honest and ethical in all responsibilities entrusted to us.

**INNOVATION.** We want to be at the forefront of change and believe that the best way to lead is to learn from our successes and mistakes and continue to grow. We are forward-looking and break new ground in addressing important community and societal needs.

**OPENNESS.** We encourage the open exchange of information and ideas from all quarters of the community. We believe that through collaboration and participation, each of us has an important role in determining the direction and well-being of our community.

**JUSTICE.** As a just community, we unite against all forms of injustice, including, but not limited to, racism. We reject bigotry, oppression, degradation, and harassment, and we challenge injustice toward any member of our community.

RESPONSIBILITY. We are personally and collectively responsible for our words and deeds. We stand together to uphold our common ground.

### **103 Academic Freedom**

The Faculty Senate adopted the following statement on academic freedom on September 23, 1954 and was approved by the Board of Trustees on October 16, 1954 and revised and adopted by the Faculty Senate on November 20, 2008 and approved by the Board of Trustees on February 7, 2009:

#### **Academic Freedom and Responsibility**

We, the faculty of The University of Vermont and State Agricultural College, in the spirit and tradition of free universities throughout the world, are agreed upon the following statement of principles on academic freedom and responsibility. We believe that incorporation of these principles into the organization of The University of Vermont and State Agricultural College will re-emphasize the importance of academic freedom to the basic health of the University, and also serve as a statement of policy on the rights and responsibilities of faculty members at this institution. It has been our intent to state these principles in terms broad enough so that they may be valid not only in these critical times when academic freedom and personal liberty are in jeopardy both at home and abroad, but also in the future insofar as the future can be foreseen.

#### **The Necessity of Academic Freedom in Higher Education**

The main purpose of a university has always been, must always be, to stimulate the thinking and the creative powers of its students and its faculty. As an institution it deals in ideas, not only old and accepted ones but new ones that may be full of explosive power. If they are explosive, they are bound to be disconcerting, even painful, to some on the campus and to many beyond its borders.

Inevitably they will be called dangerous by the timid and short-sighted, but to those who really believe in the fruitfulness of human thought, the real danger would appear only if the flow of such ideas should cease. For then indeed sterility would have taken over our campus. Our faculty would no longer deserve the name of intellectuals and our students, regardless of degrees attained, could no longer claim to be educated. They would leave our campus accustomed only to the commonplace, satisfied with the mediocre, ignorant or afraid of ideas which catch fire.

Academic freedom is therefore not solely a right or privilege of the faculty but is the fulfillment of the obligation on the part of the university to provide an atmosphere in which intellectual growth may take place.

## **Academic Freedom and Special Responsibilities of Faculty Members**

We subscribe to the 1940 Statement of Principles on Academic Freedom of the American Association of University Professors which provides:

- a. Faculty are entitled to full freedom in research and in the publication of the results, subject to the adequate performance of their other academic duties; but research for pecuniary return should be based upon an understanding with the authorities of the university.
- b. Faculty are entitled to freedom in the classroom in discussing their subject, but they should be careful not to introduce into their teaching controversial matter which has no relation to their subject.
- c. Faculty are citizens, members of a learned profession, and officers of the university. When they speak or write as citizens, they should be free from institutional censorship or discipline, but their special position in the community imposes special obligations. As scholars and educational officers, they should remember that the public may judge their profession and their institution by their utterances. Hence, they should at all times be accurate, should exercise appropriate restraint, should show respect for the opinions of others, and should make every effort to indicate that they are not speaking for the university.

In addition, there are recognized qualifications which must be attained and maintained before the privilege of being a member of the academic profession can be considered a permanent one: satisfactory performance as a teacher, scholarship, and high moral standards.

### **Responsibility of the Institution to the Faculty**

The University must defend tenaciously the right of its members to think and express their thoughts freely and to make those choices within the law guaranteed to every citizen. This includes the right of dissent since any democratic institution ceases to merit the name democratic when this fundamental right is denied. Never is this duty more imperative than in those unhappy times when the public opinion of the community would restrain or curtail the free play of ideas. The universities, whose roots extend back into the centuries, have a tradition and duty to maintain an independence of judgment in the face of public opinion.

### **Academic Freedom and Tenure**

Tenure is an indispensable pre-condition for academic freedom. It is, in fact, a guarantee that the institution subscribes to the principle of academic freedom, and that its members may not be dismissed without adequate cause. Termination of tenure should occur only in cases of *bona fide* financial exigency in the University or when it has been demonstrated that the teacher lacks professional or moral fitness or competence as a teacher.

In the interpretation and the application of these principles we shall expect the University authorities to be quick to protect its heritage of academic freedom, in doubtful cases remembering that an excess of freedom is always less dangerous than an excess of constraint.”

#### **104 Equal Employment Opportunity and Affirmative Action**

The University of Vermont and State Agricultural College is committed to a policy of equal employment opportunity and to a program of affirmative action in order to fulfill that policy. The University will accordingly recruit and hire into all positions the most qualified persons in light of job related requirements, and applicants and employees shall be treated lawfully in employment matters without regard to criteria including race, color, religion, ancestry, national origin, sex, sexual orientation, disability, age, positive HIV-related blood test results, status as a disabled or Vietnam Era Veteran, or gender identity or expression, as these terms are defined under applicable law, or any other factor or characteristic protected by law. In addition, the University of Vermont recognizes that discriminatory harassment and sexual harassment are forms of unlawful discrimination, and it is therefore the policy of the University that discriminatory harassment and sexual harassment will not be tolerated. The University also prohibits unlawful harassment on the basis of other characteristics protected by law. Further, employees and applicants will not be subjected to harassment or retaliation because they have engaged in or may engage in the following: filing a complaint; assisting or participating in an investigation, compliance evaluation, or any other activity related to the administration of the Vietnam Era Veterans' Readjustment Assistance Act of 1974 ("VEVRAA"), Section 503 of the Rehabilitation Act of 1973 ("Rehabilitation Act"), or the Affirmative Action provisions of federal, state or local law; opposing any act or practice made unlawful by VEVRAA, requiring equal employment opportunities for individuals with disabilities, disabled veterans, or veterans of the Vietnam Era; or exercising any rights under VEVRAA or the Rehabilitation Act. The President is the official responsible for the interpretation and administration of this policy.

See University Board of Trustees Policies, Operations, and Planning Manual for adoption dates and elaboration.

#### **105 Equal Opportunity in Educational Programs and Activities**

The University of Vermont and State Agricultural College is committed to a policy of equal educational opportunity. The University therefore prohibits discrimination on the basis of criteria such as race, color, religion, national or ethnic origin, age, sex, sexual orientation, marital status, disability, or gender identity or expression, as those terms are defined under applicable law, in admitting students to its programs and facilities and in

administering its admissions policies, educational policies, scholarship and loan programs, athletic programs, and other institutionally administered programs or activities made available to students at the University. The University also prohibits harassment, as defined in the Vermont Statutes at Title 16, section 11(a) (26). Unlawful harassment is a form of discrimination and is therefore prohibited. The President is the University official responsible for interpretation and administration of this policy.

See University Board of Trustees Policies, Operations, and Planning Manual for adoption dates and elaboration.

### **106 Conflict of Interest and Conflict of Commitment Policy.**

The University's current Conflict of Interest and Conflict of Commitment Policy is available at the following web site:

[http://www.uvm.edu/~uvmppg/ppg/general\\_html/conflictinterest.pdf](http://www.uvm.edu/~uvmppg/ppg/general_html/conflictinterest.pdf)

## **PART 200 UNIVERSITY ORGANIZATION, GOVERNANCE, AND STRUCTURE**

### **201 Organization**

The current University organizational chart may be found at <http://www.uvm.edu/~isis/org.html>.

### **202 Governance**

#### **202.1 Board of Trustees**

##### **202.1.1 Authority of the Board of Trustees.**

Under the 1955 amendments to the Charter of the University, its Board of Trustees is vested with authority over the "entire management and control" of the institution's "property and affairs, and in all things relating thereto." Reservations and delegations of Board authority appear in the University Bylaws, Board of Trustees' resolutions, and the Faculty Senate Constitution and Bylaws.

##### **202.1.2 Composition of the Board of Trustees.**

The membership of the Board of Trustees is comprised of:

- a. The Governor. The Governor of the State (*ex officio*).
- b. The President. The President of the University (*ex officio*).
- c. The UVM Board. Nine Members elected by the Board of Trustees for the institution founded in 1791 (known as The University of Vermont), with three such Trustees elected each biennium in the even years, these nine Trustees also comprising the Board of Trustees of The University of Vermont.
- d. The Agricultural College Board. Nine Members elected by the General Assembly of the State of Vermont, with three such Trustees being elected each biennium in the odd years, these nine Trustees also comprising the Board of Trustees of the Vermont Agricultural College.
- e. The Gubernatorial Appointees. Three Members appointed by the Governor with the consent of the Senate of the General Assembly of the State of Vermont, one such Trustee being appointed each biennium in the odd years.
- f. The Student Members. Two Members appointed by the Associated Directors for the Appointment of the University of Vermont and State Agricultural College Student Trustees, Inc.

## **202.2 President**

### **202.2.1 Appointment and Accountability.**

The President is appointed by, and accountable to, the Board of Trustees, as further specified in the University Bylaws.

### **202.2.2 Authority and Responsibilities.**

The authority and responsibilities of the President are specified in the University Bylaws and generally include:

- a. Establishing and overseeing the accomplishment of the basic academic, operational, and developmental objectives of the institution, including planning processes necessary to formulate and execute such objectives, consistent with the strategic direction set by the Board of Trustees;
- b. Adopting general University policies, subject to the rights vested in the Faculty Senate as stated in its Constitution and Bylaws;
- c. Approving and presenting for approval by the Board of Trustees the University annual budget, including state appropriations requests;
- d. Submitting appropriations requests to the Governor and the Legislature of the State of Vermont, and making such reports on institutional operations as may properly be required or requested by the State;
- e. Representing the University in the community and the State; before the Vermont Congressional delegation; among government officials and agencies; and before other educational institutions, professional organizations, alumni, parents, friends, and donors;
- f. Serving as a formal medium of communication between the Board of Trustees and the University faculty, students, and staff;
- g. Deciding jurisdictional questions arising among bodies or programs within the University; and
- h. Appointing, or delegating to the Senior Vice President and Provost or an appropriate vice president authority to appoint, University officers and employees except those appointed by the Board of Trustees pursuant to the University Bylaws or by resolution.

**202.2.3 Search Committee for the President.**

After an incumbent President announces his or her impending resignation or retirement, or when the office is vacated without prior notice, the Board of Trustees shall promptly establish and appoint a presidential search committee advisory to the Board. The committee shall consist of trustees, faculty, students, staff, and such other persons as the Board chooses to appoint. There shall be no fewer than two students on the committee, chosen by the Board Chair following consultation with the President from a list proposed by the Student Government Association. There shall be no fewer than four faculty members. The procedure for selecting the faculty appointees begins with the election of a panel, on a representative basis, the faculty of each college or school to elect at least one panel member. A college or school with a faculty numbering over 100 shall elect an additional panel member for each hundred faculty members in excess of 100. The panel shall elect those of its members who are to serve on the search committee, and the other panel members will participate in on-campus interviews with candidates. The student and faculty appointees shall be designated in accordance with the timetable the Board Chair establishes. The Board Chair, or his/her designee, will charge the search committee and oversee the recruitment process. The Board shall select and appoint a President following consideration of the recommendations of the search committee.

**202.3 Provost****202.3.1 Appointment and Accountability.**

The Provost is initially appointed and thereafter elected annually by the Board of Trustees upon recommendation of the President. The Provost serves under the direction of the President. The Provost shall be subject to annual performance review conducted by the President and the periodic performance review processes applicable to senior administrative officers.

**202.3.2 Authority and Responsibilities.**

The Provost serves as the chief academic officer of the University. The Provost works with the deans of the academic units in overseeing the implementation and administration of curricular and research programs and related academic and information support services, including their associated budgets; encouraging faculty in their professional development and in promoting and supporting research; and monitoring and certifying the status of students enrolled in academic programs. The Provost assists in recruiting faculty members and, through customary reappointment, promotion, and tenure processes, in effecting changes in faculty status. With the Faculty Senate, the Provost initiates academic program development, implementation, and changes consistent with institutional mission, strategic plans, and accreditation standards. Through the dean or director of the University Libraries, the Provost oversees the policies and operations of the libraries.

**202.3.3 Search Committee for the Provost.**

After an incumbent Provost announces his or her impending resignation or retirement, or when the office is vacated without prior notice, the President shall promptly establish a provostial search committee advisory to the President. The committee shall consist of faculty and students nominated in the numbers and manner described in section 202.2.3, and such faculty, students, staff, or other persons as the President chooses to appoint. The student and faculty appointees shall be designated in accordance with the timetable the President establishes. The President, or his/her designee, will charge the search committee and oversee the recruitment process. The Provost shall be appointed by the Board of Trustees upon recommendation of the President and following consideration by the President of the recommendations of the search committee.

**202.4 Officers of the University.**

Vice Presidents and other Officers of Administration. Officers of the University shall be appointed as provided in the University Bylaws. The President, or the Senior Vice President and Provost in the event the President delegates this authority, may also appoint Vice Presidents and such other officers of administration and personnel as may be necessary or desirable to accomplish the institutional mission and objectives. Officers of the University who are faculty shall hold such status and rank as the University may establish through customary channels. An individual may hold an appointment in one or more officer categories.

**202.5 Faculty Senate.**

Subject to the reserved powers of the Board of Trustees and the President, the Faculty Senate is responsible in cooperation with the Provost for the review and establishment of policy with respect to matters specified in the Faculty Senate Constitution and Bylaws. In particular, “[t]he administration and the Faculty Senate of the University of Vermont share responsibility for the effective management of the academic affairs of the University. Authority in matters related to the academic mission of the University is vested in the Faculty by the Board of Trustees. This authority is exercised in the Faculty Senate by elected senators with voting privileges and by committees authorized to act on their behalf.” Faculty Senate Constitution and Bylaws, *Preamble*. In addition, the Faculty Senate advises on those matters specified in the Faculty Senate Constitution and Bylaws.

**202.5.1 Faculty Senate Constitution and Bylaws.**

Faculty Senate authority, responsibilities, and self-governance protocols shall be memorialized in a Constitution and Bylaws approved pursuant to governance requirements and applied by the Faculty Senate in a manner consistent with its delegated powers.

**202.5.2 Conformance with State Law.**

The authority of the Faculty Senate shall be exercised in a manner consistent with governing law and the rights and obligations of the University as well as the rights and

obligations of faculty represented by labor organizations certified under state labor relations law.

## **202.6 The University Faculty**

### **202.6.1 Faculty Appointments.**

The University Faculty consists of persons holding such titles and rank as the University may establish through customary processes in the Colleges, Schools, and other academic units of the University, and includes the President of the University, the Provost, and Deans. Faculty appointments shall be initially made by the Provost upon recommendation of the Dean of the College or School, following the initial recommendation by the Chair to the Dean. All faculty must have a primary departmental appointment. Matters affecting faculty appointments and conditions of employment, including without limitation salary and benefits, reappointments, leaves, promotion, tenure, appointment terminations, reinstatements, retirement, and other changes in status, shall be set forth in and governed by the documents applicable to their appointment status, as referenced in this University Manual and as may appear in the Appendices to this Manual.

### **202.6.2 Authority of the Faculty**

Under the authority of the Board of Trustees, the University Faculty is empowered to establish policy with respect to academic freedom; curriculum; general admission standards and prerequisites; requirements for certificates and degrees; regulations regarding attendance, examinations, grading, scholastic standing, honors, and the academic calendar; teaching quality; criteria for positions accorded academic rank; and other matters referred to it by the Board of Trustees, the President, or the faculty of a College, School, or Department. It is also charged with participating in the formulation of policy with regard to a broad range of other University activities. The areas and methods of faculty participation, and the composition and functions of faculty committees, are set forth in the Faculty Senate Constitution and Bylaws.

### **202.6.3 Faculty Research**

University policies on research and related activities are based on the philosophy that the University's fundamental objectives are the dissemination, preservation, and advancement of knowledge through its educational and research programs. The University also recognizes its responsibility to serve community (local, state, national, international) interests as it fulfills its basic educational objectives of undergraduate, graduate, and professional teaching, advanced research, and public service -- the traditional aims of a land-grant institution. Research and creative scholarship are essential elements of an effective educational program and enable faculty members to keep abreast of the rapid advances in knowledge, to satisfy their intellectual curiosity, and to improve their

professional status. Students are stimulated in their academic work and develop a spirit of inquiry and a familiarity with research techniques. Insofar as possible, teaching and research should be considered parts of a continuum and not as separate and discrete activities.

### **202.6.3.1 Sponsored Research**

The University shall maintain an office of research administration designed to assist faculty in their pursuit of funding for research and scholarly activity while ensuring compliance with federal, state, and private sponsor requirements. In negotiating for research funds, the University will establish and maintain policies that will preserve the academic freedom and financial integrity of the institution and that will not conflict with the educational pursuits of the University. Policies with respect to sponsored programs are based on the following principles:

- a. Sponsored programs supporting research, training, and related activities must be consistent with the immediate and long-term objectives of the University as an institution of higher education;
- b. The source of sponsorship and the purpose of all projects must be of such a nature that they can be publicly disclosed;
- c. Classified research is inconsistent with the purposes and functions of a university and will be accepted only when there are compelling reasons, such as pressing demands of national interest and welfare;
- d. Restrictions on the free publication of results are contrary to one of the basic objectives of a university, namely the dissemination of knowledge. Accordingly, the University, with the principal investigator and his/her department and college or school, will seek to minimize any restrictions on public and scholarly communication imposed by those research agreements that are accepted; and
- e. All research must be conducted in a manner consistent with applicable University and federal requirements, including without limitation those applicable to human subjects, animal welfare, laboratory safety, conflict of interest, effort reporting, and cost accounting principles.

### **202.6.3.2 Research Policies and Procedures.**

In their conduct of research, faculty shall be subject to applicable federal and state law and institutional policies, including without limitation those governing intellectual property, research misconduct, and conflict of interest.

## **203 Advisory Bodies**

### **203.1 University Council**

#### **203.1.1 Purpose.**

The University Council serves as an advisory body to the President in developing and administering the policies of the University and meets at the President's call.

#### **203.1.2 Membership.**

The members of the University Council are the President, Senior Vice President and Provost, Vice President for Finance and Administration, Vice President for Development and Alumni Affairs, Vice President for Student Affairs and Campus Life, associate Provosts, Deans, Directors of academic units, and others by invitation of the President.

### **203.2 Student Government Association**

#### **203.2.1 Description.**

The Student Government Association serves as the official channel of communication between the student body and the University regarding policies governing, and operations affecting, student life, in a manner consistent with the rights and responsibilities set forth in its charge and conditions of institutional recognition.

#### **203.2.2 Student Government Association Constitution and Bylaws.**

Student Government Association authority, responsibilities and internal governance protocols shall be memorialized in a Constitution and Bylaws approved pursuant to governance requirements and applied by the Student Government Association in a manner consistent with its charge and conditions of institutional recognition.

### **203.3 Staff Council**

#### **203.3.1 Description.**

The Staff Council is comprised of non-faculty employee representatives who advise the administration on policies governing, and operations affecting, staff, in a manner consistent with the rights and responsibilities set forth in its charge and conditions of institutional recognition.

#### **203.3.2 Staff Council Constitution and Bylaws.**

Staff Council authority, responsibilities, and internal governance protocols shall be memorialized in a Constitution and Bylaws approved pursuant to governance requirements and applied by the Staff Council in a manner consistent with its charge and conditions of institutional recognition.

### **203.3.3 Consistency with State Law.**

The authority of the Staff Council shall be exercised in a manner consistent with governing law and the rights and obligations of the University and staff represented by labor organizations certified under state labor relations law.

## **203.4 Alumni Council**

### **203.4.1 Description.**

The Alumni Council is the governing body of the University of Vermont Alumni Association.

### **203.4.2 Constitution and Bylaws.**

The purposes, membership, and operations of the Alumni Association and the Alumni Council are set forth in its Constitution and Bylaws.

### **203.4.3 Consistency with State Law.**

The authority of the Alumni Association and its Alumni Council shall be exercised in a manner consistent with its Constitution and Bylaws and governing law.

## **204 Academic Unit Structure**

### **204.1 Establishment and Elimination of Academic Units.**

The establishment and elimination of academic units, enrollment units, instructional units, and degrees must be approved by the Board of Trustees, upon recommendation of the President and following appropriate governance protocols.

### **204.2 Structure and Categories of Academic Units**

To carry out the teaching, research, and service mission of the University, the recognized categories of academic units are College, School, Department, Program, Center, and Institute.

### **204.3 Colleges, Schools, and Departments.**

#### **204.3.1 College.**

A College is an academic unit with a defined and congruent mission in instruction, research and scholarship, and service. With the exception of the Honors College, a College presents degree candidates to the Faculty Senate, which recommends those candidates for the award of appropriate degrees by the Board of Trustees. A College is organized into Departments.

#### **204.3.2 School.**

A School is an academic unit with a defined and congruent mission in instruction, research and scholarship, and service, the mission being narrower in scope than that of a College and ordinarily focused upon professional training. A School that is not established within a

College presents candidates to the Faculty Senate, which recommends those candidates for the award of appropriate degrees by the Board of Trustees. A School may be located within a College, in which instance it is led by a Director who reports to the Dean. A School may be organized into Departments. A Director is subject to University Manual policies and procedures otherwise applicable to the recruitment, appointment, evaluation and review of Deans.

### **204.3.3 Department.**

A Department is a unit of instruction, research and scholarly activity, and service, which (with the exception of the Department of Military Studies) is established within a College or School. Its faculty, instructional offerings, and research are recognized as belonging to a discrete academic discipline or related disciplines or as providing a unique supporting role to other academic programs. In establishing a Department, due consideration will be given to identifying the fiscal resources and appropriate number of faculty members compatible with its instructional, research, and scholarly objectives and responsibilities.

## **204.4 Programs**

### **204.4.1 Description**

A program, as a formal unit, is an organization of faculty members each of whom holds a primary appointment in a Department of a College, or in a School if the School is not organized into Departments. The faculty of a program, which is typically assembled from more than one academic unit, cooperate in the presentation of a specialized academic curriculum or course of research or study. A program is customarily responsible to the Dean of a College or School. A program may offer a limited number of courses necessary for the purposes of the program and not available in other approved academic units. A program may be responsible for the management of a budget devoted to operational matters. A program does not award degrees, nor does it appoint its own faculty.

Note: As often used at The University of Vermont, the term “program” refers to a curriculum, major, or concentration *within* an approved academic unit. When used in this way, “program” does not refer to an approved academic unit as described in the previous paragraph.

### **204.4.2 Certificate Programs**

A Certificate Program is a non-degree course of study, which may or may not carry academic credit. A Certificate Program provides instruction in a coherent body of knowledge and leads to the attainment of a specified set of learning objectives, but does not itself lead to the award of a degree. It is based on a logical cluster of relevant courses and learning experiences and includes explicit mechanisms for performance evaluation that are appropriate to and consistent with the stated objectives. Upon successful completion of a Certificate Program, a student is awarded an official document, which bears the seal of

the University. The student's official transcript shall list the title and nature of the Certificate Program and the academic credit awarded.

### **204.5 Centers and Institutes**

Centers and Institutes facilitate the performance of interdisciplinary or focused research not otherwise conducted within the structure of Departments, Schools, or Colleges. The establishment, and substantial changes in status, of Centers and Institutes must be approved by the Board of Trustees, upon recommendation of the President, following application of appropriate governance protocols, the latter to include Faculty Senate approval.

#### **204.5.1 Center.**

A Center is an administrative unit coordinating research, instruction, or service activities established to focus upon an interdisciplinary subject or specialized field of study or to bring multidisciplinary perspectives to a problem of common interest. Faculty participants are drawn from two or more Colleges or Schools or, in rare instances, from two or more Departments within a College. A Center does not grant degrees or appoint faculty, nor does it usually develop formal course offerings except in cooperation with the academic units that constitute its participants.

In general, Centers principally obtain resources from state, federal, or other external sources and are not substantially dependent upon the University General Fund. Due to this funding mechanism, a proposal to establish a Center must include a statement of the expected duration of its activities and a description of funding resources.

The chief administrative officer of a Center is a Director appointed by the Provost. The responsibilities of the Director are coordinated through the Provost and an advisory committee whose members are appointed by the Provost and selected from the Deans of the academic units involved. Faculty with responsibilities to a Center must hold faculty appointments in one of the Colleges or Schools participating in Center activities.

#### **204.5.2 Matrix Center**

A Matrix Center is an academic unit whose faculty are engaged in conducting research and/or educational activities that focus upon a multidisciplinary field or area of study involving faculty from at least two college or schools. A Matrix Center may sponsor graduate programs leading to the award of graduate degrees through the Graduate College. Center faculty shall be drawn from and hold a primary appointment in a Department from any College or School and a secondary appointment in the Center. All matters concerning appointment, reappointment, promotion, and tenure decisions shall be made by the Department and the Center. The chief academic officer of a Matrix Center is the Director, whose appointment and responsibilities, administrative and fiscal, are coordinated through the Provost or his/her designee. An Advisory Committee, whose members, appointed by

the Provost, are drawn from the Deans or their designees of the academic units involved, serves to counsel the Provost regarding matters of Matrix Center management and operation. The creation of a Matrix Center is dependent upon an initial determination by the Faculty Senate that the proposed Center meets the established criteria for consideration of Matrix Center status, and subsequent approval of establishment of the Matrix Center by the Provost, the President, and the Board of Trustees. To commence operations after approval, a Matrix Center must have external funds committed and currently available for its use, whether in the form of grants or philanthropy, such funds being adequate to enable the Center to be financially self-supporting. If the Matrix Center proposal seeks transitional start-up or secondary support from the General Fund, the proposal must also contain a General Fund commitment made by the Provost in writing, the commitment to encompass the nature, extent, and duration of such support. Indirect costs generated from research sponsored by extramural funding will be shared by both administrative units. Matrix Centers will undergo review every five years under the procedures and criteria and established by the Faculty Senate and approved by the Provost.

### **204.5.3 Institute.**

The designation “Institute” is reserved for activities within a College, School, or Center that have a more sharply defined mission than that implied by the word “center.” In general, Institutes principally obtain resources from state, federal, or other external sources and are not substantially dependent upon the University General Fund. Due to this funding mechanism, a proposal to establish an Institute must include a statement of the expected duration of its activities and a description of funding resources. Institute administration will ordinarily be conducted through the appropriate Dean; however, an Institute may also be directed by a board or other mechanism appropriate to its objectives, subject to academic oversight by the Dean, Chairs, and faculty of participating academic units.

## **204.6 Vermont Agricultural Experiment Station**

### **204.6.1 Description.**

The Agricultural Experiment Station was established in 1886 as a state and federal partnership to serve the agricultural needs of the state through research. Experiment Station research is now funded by both public and private sources.

### **204.6.2 Director.**

The Agricultural Experiment Station operates under the direction of its Director who, in consultation with researchers and their staff and advisors and citizen stakeholders, develops and oversees research and programs. The Director reports to the Dean of the College of Agriculture and Life Sciences.

## **204.7 UVM Extension**

### **204.7.1 Description.**

UVM Extension was established in 1912 as a state and federal partnership to provide Vermonters timely, research-based education and information. Programs are offered throughout the state, covering a wide array of subjects including agricultural business profitability, forest and farm stewardship, economic development, nutrition and food safety, and life skills for youth.

### **204.7.2 Dean or Director.**

UVM Extension operates under the direction of its Dean or Director, in consultation with its faculty, staff, volunteers, and community advisors, to develop and conduct educational programs and to provide information to the citizens of the state. The Dean or Director is subject to University Manual policies and procedures otherwise applicable to the recruitment, appointment, evaluation, and review of Deans. The Dean or Director reports to the Provost.

## **204.8 Graduate College**

### **204.8.1 Description.**

The Graduate College is an enrollment unit of the University and has, subject to the authority delegated to it through customary governance channels, responsibility for all matters relating to the academic standards of graduate programs and the admission, support, and degree certification of graduate students, with the exception of the Degree of Doctor of Medicine. The Graduate College presents candidates to the Faculty Senate, which recommends those candidates for the awarding of degrees by the Board of Trustees.

### **204.8.2 Dean.**

The Dean of the Graduate College, with the advice of the Graduate College faculty and its committees, is responsible for formulating and implementing standards, policies, and procedures governing graduate programs. These responsibilities are carried out under the direction of the Provost and in consultation with the Deans and Chairpersons of the academic units that offer graduate instruction or graduate degree programs.

## **204.9 College of Medicine**

### **204.9.1 Description.**

The College of Medicine is an enrollment unit of the University responsible for matters relating to the academic and clinical standards of the College program and the admission, support, and degree certification of its enrolled students. The College presents degree

candidates to the Faculty Senate, which recommends candidates for the awarding of degrees by the Board of Trustees.

#### **204.9.2 Dean.**

Advised by College faculty committees, the Dean is responsible to the Provost for formulating and implementing standards, policies, and procedures governing the academic and clinical programs and matters relating to student enrollment and status.

### **204.10 Continuing Education**

#### **204.10.1 Description.**

Continuing Education is an enrollment unit of the University responsible for the coordination and administration of credit and non-credit courses and programs in consultation and cooperation with the Deans of academic units or as otherwise approved through normal channels. Continuing Education is responsible for the coordination and administration of Summer Session and for enrollment, support, and program development for non-degree students.

#### **204.10.2 Dean or Director.**

The Continuing Education Dean or Director reports to the Provost and is subject to University Manual policies and procedures otherwise applicable to the recruitment, appointment, evaluation, and review of Deans.

### **204.11 Department of Military Studies**

#### **204.11.1 Description.**

The Department of Military Studies is an instructional unit of the University responsible for offering the institutional curriculum in military studies.

#### **204.11.2 Professor of Military Studies.**

The Professor of Military Studies is assigned to the University by the Department of the Army, subject to the approval of the President in consultation with the Provost. The Professor of Military Studies is responsible to both the Department of the Army and to the Provost for the efficient administration of the Department. The Provost shall conduct an annual performance evaluation of the Professor of Military Studies. The Provost will meet with the Professor of Military Studies to discuss the results of the performance review and to convey a salary adjustment for the upcoming fiscal year. The Professor of Military Studies is subject to non-reappointment by the Provost, following the Provost's

consultation with the President, and in accordance with any applicable requirements and protocols of the Department of the Army.

## **204.12 University Libraries**

### **204.12.1 Description.**

As the premier public research library for the State of Vermont and the northern New England region, the University Libraries represent the intellectual center of the commitment of the University to knowledge creation, application, and dissemination. University Libraries faculty and staff serve to meet the wide-ranging and varied information needs of faculty, students, staff, and the general public through active engagement in the acquisition and licensing of research collections; access, description, and management of scholarly and other research materials; instruction in information literacy and knowledge management concepts and skills; and preservation and storage of historic and archival materials.

### **204.12.2 Dean or Director.**

The Dean or Director, with the advice of the Libraries faculty and staff, is responsible to the Provost for formulating and implementing standards, policies, and procedures governing the Libraries and information resources. The Dean or Director is subject to University Manual policies and procedures otherwise applicable to the recruitment, appointment, evaluation, and review of Deans.

## **204.13 Robert Hull Fleming Museum**

### **204.13.1 Description.**

The Robert Hull Fleming Museum was established in 1931 to house the collections of the University of Vermont and, through its collections, exhibitions, and programs, to support the University curriculum and provide cultural outreach to the general public. The Museum supports coursework in a wide range of disciplines in cooperation with academic units and departments. The Fleming Museum is funded by the University General Fund and public and private sources. Accredited by the American Association of Museums (AAM), the Fleming Museum complies with AAM guidelines pertaining to collections and all areas of Museum operations.

### **204.13.2 Director.**

The Director of the Robert Hull Fleming Museum reports to the Provost and is assisted in advancing the Museum's mission by an external Board of Advisors.

## **PART 300 ACADEMIC UNIT GOVERNANCE, COMPOSITION, AND ADMINISTRATION**

### **301 Deans**

#### **301.1 Recruitment.**

The President, in consultation with the Provost, shall appoint a search committee advisory to the President in conjunction with initiation of a decanal recruitment process. The search committee will include no fewer than four faculty members of the College or School faculty for which a Dean is being recruited; the Dean of another College or School or his/her designee; as desirable, a faculty member from another College or School whose academic programs interrelate with those of the College or School for which the Dean is being recruited; two students enrolled in a degree program offered by the College or School; a staff member from the College or School; and such other persons as the President chooses to appoint. The representatives will be identified under the timetable the President establishes.

#### **301.2 Appointment.**

Deans are initially appointed by the President upon recommendation of the Provost and consideration by the Provost and President of the recommendation of the search committee. At the time of the Dean's initial appointment, the President shall set forth in writing all material terms and conditions of the appointment, including starting salary as Dean and the base salary of the secondary faculty appointment, benefits programs, and the applicability of the University Manual. A Dean initially appointed without faculty rank or tenure may request consideration for that status in an appropriate academic unit, which will be processed under customary standards and procedures. Following initial appointment, a Dean is subject to annual reappointment consideration.

#### **301.3 Authority and Responsibilities.**

The Deans of the undergraduate Colleges and Schools, the Graduate College, and the College of Medicine are each responsible to the Provost for the effective leadership and administration of the unit under their supervision. A Dean, in consultation and cooperation with the College and School faculty curriculum and standards (or equivalent) committees, directs and coordinates the establishment and oversight of academic standards and educational objectives and the curricula to attain them. The Dean gives attention to the programs of study and research, their purposes and content, the effectiveness of instruction, the admission and counseling of students, the recruitment and supervision of the faculty of the College or School, and the development and maintenance of resources and support services for the carrying out of the mission of the College or School. The Dean also directs curricular advising of students and their enrollment, supervises their academic status and standing, and certifies degree candidates to the Senate. The Dean presides over faculty meetings of the College or School in accordance with applicable College or School

bylaws. In consultation with Department Chairpersons, the Dean makes recommendations to the Provost for faculty appointments and changes in faculty status. The Dean prepares a budget for the College or School for approval by the Provost and administers the budget following its approval. The Dean is responsible for the mentoring and oversight of Department Chairs.

### **301.4 Performance Review.**

#### **301.4.1 Annual Review.**

The Provost shall conduct an annual performance review of each Dean. The Provost will meet with each Dean individually to discuss the results of the performance review and, following consultation with the President, to convey a reappointment decision and the salary upon reappointment.

#### **301.4.2 Third Year Review.**

The Provost shall conduct a formative review of a Dean's performance during the fall semester of the initial third year of appointment. The primary objective of the evaluation is to facilitate continued improvement of the academic leadership and management of the College or School. For Schools and Colleges with academic departments, input will be sought from every Department Chairperson and, separately, from the faculty and staff. For Schools and Colleges without Departments, the faculty and staff shall be given an opportunity to provide input into the third year performance review. Such input will be based upon the Dean's performance of the responsibilities set forth in section 301.3 and as otherwise defined by the University through proper channels. The Office of the Provost will distribute and administer standardized evaluation forms in electronic format, so that confidentiality may be assured. The standardized form shall have the following characteristics: 1) the form will use a combination of descriptive criteria upon which the Dean shall be ranked and opportunities for narrative comments to justify the ranks assigned; 2) respondents may reveal their identity but are not required to do so; and 3) the identities of the participants will not be revealed to the Dean under review. The Provost shall prepare a written report on the Dean's performance, which shall include a summary of the Chairpersons' evaluations (when applicable) as well as faculty and staff evaluations. The Provost shall share this written report with the Dean, who shall have the right to submit a written response. The Provost will maintain a record of the performance appraisals, the individual evaluation forms, and any responses from the Dean.

#### **301.4.3 Periodic Comprehensive Review.**

A Dean shall undergo a summative performance review at intervals of no longer than five years. The primary objective of the review is to provide advice to the President as he/she determines, in consultation with the Provost, whether the Dean will be reappointed following the appointment year in progress. Such a review may be commenced at an earlier point by the President at his/her own initiation, or upon request of the Provost, the

Dean, a majority of the Chairpersons of the academic unit, or one-third of the faculty of the academic unit eligible to vote under the bylaws of the College or School.

The Provost shall appoint a committee of nine faculty members to review the Dean, such appointments to be made during the fall semester of the review year. Three faculty members will be elected representatives from the academic unit, three will be appointed by the Faculty Senate Executive Council, and three will be appointed by the Provost, including the committee chairperson, who must come from outside the academic unit. The review committee shall conduct its work in an expeditious manner. It will begin its work with a thorough review of the third-year evaluation documents. It shall consult with Chairpersons (if there is a departmental structure), faculty, staff, and students from the academic unit, and others deemed appropriate from within or outside the University. The committee shall submit a written report to the Provost no later than February 1 of the academic year in which the review commences. The Provost shall present the full report of the review committee to the Dean, with a copy to the President, and shall distribute an accurate summary of the findings of the report to every faculty and staff member of the academic unit.

The Executive Council of the Faculty Senate shall monitor the Deans' review process and shall report to the Senate no less often than once every three years as to the adequacy of its operation.

### **301.5 Appointment Termination.**

Decanal appointments terminate through resignation, non-reappointment, or termination for cause.

#### **301.5.1 Resignation.**

Resignation by a Dean must be made in writing to the President, with a copy to the Provost. The resignation shall become effective on a date and terms memorialized in writing and mutually agreed by the Dean and the President.

#### **301.5.2 Notice of Non-reappointment.**

The Dean is subject to annual reappointment consideration after the initial appointment. The President, following consultation with the Provost, may also give a Dean notice of non-reappointment for the following year at any time prior to the expiration of an appointment year in progress, provided that a non-reappointment decision must be based upon performance quality or reasonably derived strategic, programmatic, administrative, or financial reasons. Notice of non-reappointment shall be given in writing, with a statement of reasons. Severance shall be made available as stated below.

**301.5.3 Severance.**

An appointment terminated through notice of non-reappointment shall become effective at the close of business on the last day of the fiscal year in progress. Deans who have served the University as such for at least three years shall receive six months' severance pay, including a customary retirement contribution, payable within thirty days following of the date of termination at the salary rate in effect at the time of notice of non-reappointment. Deans who have served for less than three years shall receive three months' severance pay, including a customary retirement contribution, payable within thirty days following the date of termination at the salary rate in effect at the time of notice of non-reappointment. Vacation time does not accrue relative to a severance period. Any vacation accumulated but unused as of the date of termination shall be paid at the time of severance payment, except in cases where a Dean assumes or resumes a twelve-month University appointment, in which case it will be carried over.

The President may enlarge the amount of severance only upon favorable recommendation of the Provost and following consultation with the Board of Trustees.

Severance shall not be awarded if a Dean assumes or resumes a faculty appointment as set forth in section 301.5.4 or in the case of termination for cause as described in section 301.5.5.

**301.5.4 Assumption or Resumption of Faculty Appointment.**

A Dean who receives notice of non-reappointment and who has a preexisting tenure or contract right to assume or resume a faculty appointment may do so following termination of the deanship appointment. This election must be made in writing to the Provost, with a copy to the Department Chairperson, within thirty calendar days of issuance of the notice of non-reappointment. In lieu of severance, a Dean who elects to assume or resume a faculty appointment shall be offered a one-semester administrative leave of absence at the salary and benefits level effective at the time of issuance of the notice of non-reappointment. A leave implemented under this provision will customarily begin on the first day of the new fiscal year, the faculty appointment to commence during spring semester of such year.

The faculty salary of a Dean assuming or resuming a faculty appointment shall be determined by the Provost in consultation with the successor Dean of the unit, who in turn will consult with the Chair. Any administrative supplement or other compensation associated with the deanship shall end as of the effective date of termination of the decanal appointment; however, the faculty salary may reflect consideration of administrative experience gained as well as factors such as the salary range of faculty of the same rank in the academic unit, academic experience and expertise, standing in the academic discipline, and faculty or other duties to be performed.

### **301.5.5 Termination for Cause.**

A Dean may be terminated for cause for conduct constituting serious malfeasance or nonfeasance, including without limitation violations of University policy or law relevant to fitness as Dean, gross insubordination, falsification of records, or grossly negligent acts or omissions in the performance of duties. Any allegations of serious malfeasance or nonfeasance shall be referred to, or initiated by, the Provost. If, after consulting with the President, the Provost concludes that the alleged conduct, if proven, would constitute a basis for termination, the procedures below will apply.

Notice of Charges. The Provost will promptly issue the Dean written notice of charges and a summary of the preliminary supporting evidence, and provide the Dean with an opportunity to respond within a specified time to the charges in a meeting and in writing. If the Provost determines that it would be in the best interests of the University and/or the College or School for the Dean to be placed on paid administrative leave pending the results of an investigation, in the absence of extenuating circumstances the leave will be instituted with written notice to the Dean immediately following provision of the opportunity to respond to the charges.

Investigation. The Provost will promptly commence an investigation responsive in nature and scope to the pending charges. If an investigative procedure otherwise relevant to the charges applies (such as those relating to investigative audits or discrimination complaints), the Provost will request initiation of such process and await its findings and recommendations. The investigation will be completed within twenty business days except in extenuating circumstances, in which latter case the Provost will advise the Dean in writing of the delay and the revised date for completion of the investigation.

a. Notice of Decision. Promptly after the investigation is complete, the Provost will in writing convey its results to the Dean, who will be given an opportunity to respond to the Provost in writing within ten business days. The Provost will issue a final written decision within twenty business days of receipt of the Dean's written response to the investigative report or within twenty business days following expiration of the response period if no response is submitted. The Provost's decision shall include a reiteration of the charges; a ruling on the charges, including a summary of the supporting evidence and statement of rationale for the decision; if the decision is to terminate the appointment, the effective date of termination; and the appeal process, including the filing deadline.

b. Appeal of decision; final decision. The Dean may appeal to the President within ten business days following issuance of the Provost's decision. The appeal is made by the Dean filing with the President a notice of appeal and an explanation of the basis for the appeal. If an appeal is filed, the President will issue a final written decision within twenty business days of receipt of the appeal, a copy of which will be sent to the Provost. If the Dean does not appeal within the required time frame, or does not obtain from the President an extension of time within which to appeal for reasonable cause shown, the

decision of the Provost shall be final. Compensation associated with the decanal appointment shall end as of the effective date of termination.

c. Faculty appointment. A Dean who has a preexisting tenure or contract right of faculty appointment shall retain the faculty appointment notwithstanding a termination for cause of the deanship, unless the faculty status is itself affected under procedures applicable to faculty appointments. Duties associated with the faculty appointment shall resume as soon as feasible in light of Department needs as reasonably determined by the Chair in consultation with the successor Dean, but ordinarily no later than the first full semester following termination of the decanal appointment.

## **302 College and School Faculties**

### **302.1 Membership.**

The membership of the faculty of each undergraduate College or School and the College of Medicine consists of the President; the Provost; the Dean of the College or School; and all persons who hold faculty appointments within an academic unit of the College or School. Regulations concerning additional memberships and voting privileges are established by the individual faculties in College or School bylaws. The faculty of the Graduate College consists of the President, the Provost, the Dean of the Graduate College, and all persons who are elected by the Graduate College faculty and appointed by the Dean of the Graduate College.

### **302.2 Self-Governance.**

College or School bylaws shall be adopted by the respective faculties, subject to the approval of the Provost and to periodic review by the respective faculties and the Provost. The bylaws must be consistent with the policies and guidelines of the University and the Faculty Senate, and standards established for admission, graduation, and other matters for academic judgment may not be lower or less specific than those adopted by the Faculty Senate. Questions of jurisdiction between the authority of the faculty and that of the Faculty Senate shall be referred by the Provost to the President for decision.

### **302.3 Functions of a College or School Faculty.**

The principal functions of a College or School faculty are:

- a. To define the objectives of its educational program within the general program of the University and to foster effective coordination of effort;
- b. To develop courses, curricula, and research programs consistent with those objectives;

- c. As appropriate to their individual faculty appointments, to provide student instruction, and to undertake research and scholarship;
- d. To advise the dean, through the Chair, on matters of faculty appointment, reappointment, promotion, and tenure;
- e. To establish requirements for admission to its programs;
- f. To set and administer specific requirements for student participation in its programs;
- g. To monitor the progress of students;
- h. To assist students with professional and educational planning and placement;
- i. To certify the eligibility of degree candidates for the award of degrees; and
- j. To maintain adequate records and reports on students, staff, programs, services, and expenditures.

### **302.4 Methods of Faculty Work.**

Each College and School may determine its own methods for the performance of its functions and operations, including the delegation of its work to committees or individuals. Each College and School shall establish and maintain appropriate committees to advise its dean on matters of curriculum and standards governing changes in faculty status. All provisions relative to methods of faculty work shall be consistent with any applicable provisions of the Faculty Handbook or collective bargaining agreements.

## **303 Departments**

### **303.1 Chairpersons**

#### **303.1.1 Description and Responsibilities.**

The Chairperson (or “Chair”), is the administrator responsible for management and coordination of the work of an academic Department, as more specifically set forth in section 303.1.5.

#### **303.1.2 Recruitment.**

Upon authorization of the Provost, the Dean shall commence recruitment for a new Chairperson assisted and advised by a search committee appointed by the Dean in consultation with the Provost. The search committee will ordinarily include no fewer than five members of the Department, two of whom will be elected by the Department faculty;

the Chair or equivalent from another Department or equivalent within the College or School for which the Chair is being recruited; and, as desirable, a faculty member from another College or School whose academic programs interrelate with those of the Department for which the Chair is being recruited. A majority of the search committee members shall hold appointments in the Department or equivalent for which the Chair is being recruited. The search committee shall invite all members of the Department to meet candidates and to express their recommendations through the search committee to the Dean. Subject to the approval of the Provost, and following consideration by the Dean and the Provost of the recommendations of the search committee, the Chair is appointed by the Dean of the College or School. Following authorization by the Provost and consultation with the UVM Office of affirmative Action/Equal Opportunity, the Dean may commence an internal recruitment of a new Chair, assisted and advised by a search committee the Dean appoints in consultation with the Provost. The search committee will have the composition as outlined in this section.

### **303.1.3 Initial Appointment.**

The salary upon initial appointment of a Chairperson, including the base salary associated with the faculty appointment, shall be set by the Provost following recommendation of the Dean and may, in the case of a faculty member assuming the appointment, include a salary increment for the assumption of Chair duties. The Dean shall inform the Chair in writing at the time of initial appointment and any subsequent reappointments of the amount of any increment, such as an administrative stipend, associated with the Chair duties and the basis for re-calculation of salary when the Chair resumes or assumes a faculty appointment. All Chair appointments shall be made expressly subject to applicable benefits policies and plans and to the provisions of the University Manual.

### **303.1.4 Reappointment.**

Following the initial term of appointment, Chairpersons are subject to annual reappointment consideration. Decisions as to reappointment and non-reappointment shall be made by the appropriate Dean prior to expiration of the appointment term in progress, subject to the prior approval of the Provost. A non-reappointment decision shall be based upon performance or reasonably derived strategic, programmatic, administrative, or financial reasons. The Dean shall give the Chairperson notice of non-reappointment in writing, with a statement of reasons. A Chair whose appointment expires at the end of the term in progress and who holds a faculty appointment to which a tenured or contractual right of appointment exists will be expected to resume active duties as a faculty member during the immediately upcoming fall semester unless he or she provides written notice of resignation from the faculty appointment to the Provost, with a copy to the appropriate Dean, within thirty calendar days of receipt of notice of non-reappointment.

### **303.1.5 Responsibilities of the Chairperson.**

The Chairperson of a Department is responsible to the Dean for the effective management and coordination of the work of the department. The Chair's duties include:

- a. Consulting with the faculty regarding the development and implementation of guidelines for faculty assignments and the standards for decisions about changes in faculty status;
- b. Attending to courses of instruction and research and their purpose and content, and scheduling courses for and otherwise making assignments to faculty;
- c. Assessing the effectiveness of Departmental instruction and student advising;
- d. Making recommendations to the Dean, following such consultation with Department faculty as may be required by Department guidelines, on the appointment of new faculty and reappointment of faculty;
- e. Fostering research and scholarship by Department faculty, and assisting in appropriate administration of the research;
- f. Mentoring faculty and conducting annual performance review of faculty and reviews relating to changes in faculty status;
- g. Initiating corrective action relative to faculty performance or conduct;
- h. Preparing a budget for the unit and managing the budget after its adoption;
- i. Scheduling meetings to conduct Department business, periodically on his/her own initiative or at the request of any two members of the Department, and otherwise consulting with Department faculty as may be necessary or desirable to the effective administration of the Department; and
- j. Being familiar with University, College/School, and Department policies or contract requirements as necessary effectively to carry out the responsibilities of a Chairperson.

With the prior authorization of the Provost, a Dean may authorize appointment of a Department Vice Chairperson where the Department size, Chair workload, or other reasonable administrative considerations render this action desirable. In this event, the Chair will appoint the Vice Chair following consultation with Department faculty and following the approval of the Dean. Vice Chair appointments are subject to annual re-approval and renewal on a schedule commensurate with the University fiscal year, and the Dean must approve any supplemental compensation associated with the Vice Chair appointment. The Vice Chair may be delegated such duties as the Chair assigns, provided that the Chair remains ultimately responsible for the proper execution of all duties assigned

to a Chair. The Chair is also responsible for the annual performance evaluation of a Vice Chair, in consultation with Department faculty.

### **303.1.6 Performance Review**

a. Annual Review. The Dean shall conduct an annual performance review of each Chairperson in the College or School. The Dean will meet with each Chair individually to discuss the results of the review and, subject to the approval of the Provost, to convey a reappointment decision and, as applicable, a salary award for the upcoming year.

b. Third Year Review. The Dean shall conduct a formative review of each Chairperson's performance during the fall semester of the third year of each five-year interval of appointment. The third year evaluation process has as its primary goal to facilitate continued improvement of the academic leadership and management of the Department, for the benefit of the Department, the College or School, and the University. Each Department faculty member, staff, and student (majors and graduate students) shall be afforded an opportunity to provide input into this third year performance review. Such input will be based upon the Chair's performance of the responsibilities set forth in section 303.1.5 and as otherwise defined by the University through proper channels. For the third year reviews, standardized evaluation forms will be distributed and administered by the Dean's office in electronic format, so that confidentiality may be assured. The standardized form shall have the following characteristics: 1) the form will use a combination of descriptive criteria upon which the chair shall be ranked and opportunities for narrative comments to justify the ranks assigned; 2) respondents may reveal their identity but are not required to do so; and 3) the identities of the participants will not be revealed to the Chair under review. The Dean shall prepare a written report on the Chair's administrative performance that shall include a summary of the faculty, staff, and student evaluations. The Dean will share this written report with the Chair, with a copy to the Provost. The Chair shall have the right to submit a written response. The Dean shall maintain a file of the third year performance appraisals, the individual evaluation forms, and any responses from the Chair.

c. Periodic Comprehensive Review. All Chairpersons shall undergo a summative performance review at intervals of no more than five years. The primary objective of this review is to provide advice to the Dean as he/she determines whether a Chair's appointment should be continued. Such a review may be initiated at an earlier point at the request of the Dean, the Chair, or a majority of the faculty of the Department eligible to vote in Departmental matters pursuant to the policies or established practices of the Department.

The Dean shall appoint a committee to review the Chairperson, consisting of a minimum of five members, two of whom shall be elected faculty representatives from the Department. A minimum of three members of the committee, including its chair, must

come from outside the Department. Unless an earlier review is initiated pursuant to this subsection, the committee will be charged during the fall semester of the fifth year. The review committee shall conduct its work in an expeditious manner. It will begin with a thorough review of the third year evaluation documents. It shall consult with all faculty members, students, staff, and other administrators in the Department. The committee shall submit a report, in writing, to the appropriate Dean no later than February 1. The Dean shall present the full report of the review committee to the Chair, with a copy to the Provost. An accurate summary of the findings of the report will be made available to every faculty member, staff member, and student (majors and graduate students) of the Department. The Executive Council of the Faculty Senate shall monitor this process and shall report to the Senate no less often than once every three years as to the adequacy of its operation.

### **303.1.7 Appointment Termination.**

Chair appointments terminate through resignation, non-reappointment, or termination for cause.

a. Resignation. Resignation by a Chair must be made in writing to the Dean, with a copy to the Provost. The resignation shall take effect upon a date and terms memorialized in writing and mutually agreed by the Chair and the Dean, the latter in consultation with the Provost.

b. Notice of Non-reappointment. Subject to the provisions of section 303.1.4, notice of non-reappointment will be given in writing by the Dean to the Chair, with the prior approval of the Provost, no later than May 1 of the year in progress, in the absence of extenuating circumstances.

c. Compensation on Assumption or Resumption of Faculty Appointment. Upon resignation or non-reappointment, a Chair assuming or resuming a faculty appointment as to which a tenured or contractual right of appointment exists will do so at the salary set by the Dean in consultation with the successor Chair. The salary may include consideration of administrative experience gained as well as factors including the salary range of faculty of the same rank in the academic unit, academic experience and expertise, standing in the academic discipline, and duties to be performed. The individual shall also be entitled to the benefits otherwise available to faculty under the Faculty Handbook or applicable collective bargaining agreement. Any vacation accumulated shall be paid within thirty days following the effective date of termination of the Chair's appointment, except in cases where the Chair assumes or resumes a twelve-month faculty appointment, in which case it will be carried over.

d. Termination for Cause. A Chairperson is subject to termination for cause in the event of serious malfeasance or nonfeasance, including without limitation violations of University policy or law relevant to fitness as Chair, gross insubordination, falsification of records, or grossly negligent acts or omissions in the performance of duties. Any allegations of serious

malfeasance or nonfeasance shall be referred to, or initiated by, the Dean. If, after consulting with the Provost, the Dean concludes that the conduct, if proved, would constitute a basis for termination, the procedures below will apply.

(i) Notice of Charges. The Dean will promptly issue the Chair written notice of charges and a summary of the preliminary supporting evidence, and provide the Chair with an opportunity to respond within a specified time to the charges in a meeting and in writing. If the Dean determines that it would be in the best interests of the University, the College or School, or the Department for the Chair to be placed on paid administrative leave pending the results of an investigation, in the absence of extenuating circumstances the leave will be instituted with written notice to the Chair immediately following provision of the opportunity to respond to the charges.

(ii) Investigation. The Dean will promptly commence an investigation responsive in nature and scope to the pending charges. If an investigative procedure otherwise relevant to the charges applies (such as those relating to investigative audits or discrimination complaints), the Dean will request initiation of such process and await its findings and recommendations. The investigation will be completed within twenty (20) business days except in extenuating circumstances, in which latter case the Dean will advise the Chair in writing of the delay and the revised date for completion of the investigation.

(iii) Notice of Decision. After the investigation is complete, the Dean will in writing convey its results to the Chair, who will be given an opportunity to respond to the Dean in writing within ten business days. The Dean will issue a final written decision within twenty business days of receipt of the Chair's written response to the investigative report or within twenty business days following expiration of the response period if no response is submitted. The Dean's decision shall include a reiteration of the charges; a ruling on the charges, including a summary of the supporting evidence and statement of rationale for the decision; if the decision is to terminate the appointment, the effective date of termination; and the appeal process, including the filing deadline.

(iv) Appeal of decision; final decision. The Chair may appeal to the Provost within ten business days following issuance of the Dean's decision. The appeal is made by the Chair filing with the Provost a notice of appeal and an explanation of the basis for the appeal. If an appeal is filed, the Provost will issue a final written decision within twenty business days of receipt of the appeal, a copy of which will be sent to the Dean. If the Chair does not appeal within the required time frame, or does not obtain from the Provost an extension of time within which to appeal for reasonable cause shown, the decision of the Dean shall be final. Compensation associated with the Chair appointment shall end as of the effective date of termination.

(v) Faculty appointment. A Chair who has a preexisting tenure or contract right of faculty appointment shall retain the faculty appointment notwithstanding a termination for cause

of the chair appointment, unless the faculty status is itself affected under procedures applicable to faculty appointments. Duties associated with the faculty appointment shall resume as soon as feasible in light of Department needs as reasonably determined by the Dean in consultation with the successor Chair, but ordinarily no later than the first full semester following termination of the appointment.

### **303.2 Department Governance and Functions**

#### **303.2.1 Self-Governance.**

Each Department has jurisdiction over matters that concern its own internal policy and practices as long as the authority is exercised in a manner consistent with the policies of the College or School and of the University. Questions of precedence shall be determined in accordance with section 030.2. The Dean shall resolve questions of jurisdiction and responsibility between the Departments of a College or School upon referral of those questions by a Department Chair to the Dean. The Dean shall also resolve questions of jurisdiction between a Department and the faculty upon referral of those questions by a Department Chair or a faculty member of an affected Department to the Dean.

#### **303.2.2 Functions of a Department.**

The principal functions of a Department are to:

- a. Develop an appropriate program of instruction, research, and service consistent with that of College or School and the University;
- b. Study and employ ways and means of making its instruction more effective; and
- c. Maintain and effectively utilize the resources entrusted to it by the University.

## **PART 400 UNIVERSITY OFFICERS; VICE PRESIDENTS AND OTHER OFFICERS OF ADMINISTRATION**

### **401 University Officers; Vice Presidents and other Officers of Administration.**

The Board of Trustees shall appoint Officers of the University pursuant to the University Bylaws. In addition, University Officers of Administration include the President, Senior Vice President and Provost, the Vice Presidents, and those additional Officers of Administration as the President may appoint or delegate the authority to appoint.

### **402 Recruitment; Initial Appointment.**

The processes for recruitment of the President and the Provost are set forth in sections 202.2.3 and 202.3.3 respectively. Officers of Administration shall otherwise be recruited in a manner consistent with applicable governance requirements.

Provisions applicable to the recruitment, appointment, and changes in appointment status of Deans and Department Chairpersons appear in sections 301 and 303.1 respectively.

At the time of initial appointment, the hiring official (“supervising senior officer”) shall set forth in writing the responsibilities of the Officer of Administration and all material terms and conditions of the appointment, including starting salary and applicable benefits policies and plans, and shall expressly reference the provisions of the University Manual. The initial appointment letter shall also identify any additional or secondary appointments and any base salary associated with a secondary appointment. An Officer of Administration initially appointed without faculty rank or tenure may request consideration for that status in an appropriate academic unit; requests shall be processed in accordance with established standards and procedures.

### **403 Performance Review.**

The supervising senior officer shall conduct an annual performance review of each Officer of Administration under his/her supervision, and shall meet with each officer individually to discuss the results of the review and, as applicable, the salary award for the upcoming year. In addition, the supervising senior officer shall conduct a periodic comprehensive performance review of each Officer of Administration under his/her supervision under policies and procedures the President establishes pursuant to section 406.

### **404 Appointment Termination.**

Except as provided in the University Bylaws, Officer of Administration appointments terminate through resignation, non-reappointment, or termination for cause, as stated below.

**404.1 Resignation.**

Resignation must be made in writing to the President (and to the supervising senior officer if the individual's supervisor is not the President). The resignation shall take effect upon a date and terms memorialized in writing and mutually agreed by the Officer of Administration and the supervising senior officer.

**404.2 Notice of Non-reappointment.**

A supervising senior officer may give an Officer of Administration notice of non-reappointment at any time before the expiration of an appointment year in progress. The non-reappointment shall be based upon performance or reasonably derived strategic, programmatic, administrative, or financial reasons. The notice shall be given in writing, with a statement of reasons. The applicable severance award shall be granted as stated in section 404.2.1.

**404.2.1 Severance.**

An appointment terminated through notice of non-reappointment shall become effective at the close of business of the fiscal year in progress. Officers of Administration who have served the University in that capacity for at least three years shall receive six months' severance pay payable within thirty days after expiration of the appointment at the salary rate in effect at the time of notice of non-reappointment. Officers of Administration who have served for less than three years shall receive three months' severance pay payable within thirty days after the expiration of the appointment at the salary rate in effect at the time of notice of non-reappointment. A severance award in excess of that set forth in this section may be granted only with the prior approval of the President. When the proposed severance award relates to an Officer of Administration who reports to the President, the President must first consult with the Board of Trustees.

Vacation time does not accumulate relative to any severance period. Any accrued vacation shall also be paid at the time of severance payment, except in cases where the Officer of Administration assumes or resumes another University appointment in which vacation accrues, in which case it will be carried over.

**404.2.2 Assumption or Resumption of Faculty Appointment.**

An Officer of Administration who receives notice of non-reappointment and who has a preexisting tenure or contract right to assume or resume a faculty appointment may do so following termination of the administrative appointment. The election must be made in writing to the Office of the Provost and the appropriate Dean and Chair within thirty days following the date of receipt of the notice of non-reappointment. In lieu of the severance for which section 404.2.1 provides, individuals who elect to assume or resume a faculty appointment shall be offered a one-semester leave of absence at the faculty salary and

benefits level to be effective as of the date of assumption or resumption of active faculty duties.

The salary of an officer of administration assuming or resuming a faculty appointment shall be determined by the supervising senior officer in consultation with the Dean of the College or School, who also will consult with the Department Chair or equivalent. Any compensation, whether salary or benefits, associated with the Officer of Administration appointment shall end as of its effective date of termination. The faculty salary may include appropriate consideration of administrative experience gained as well as factors including the salary range of faculty of the same rank in the academic unit, academic experience and expertise, standing in the academic discipline, and duties to be performed.

#### **404.3 Termination for Cause.**

An Officer of Administration may be terminated for serious nonfeasance or malfeasance, including without limitation violations of University policy or law relevant to fitness as an Officer of Administration, gross insubordination, falsification of records, or grossly negligent acts or omissions in the performance of duties. Any allegations of serious malfeasance or nonfeasance shall be referred to, or initiated by, the senior supervising officer. For purposes of this provision, the Senior Vice President shall be the senior supervising officer relative to Vice Presidents. If, after consideration of the nature of the charges and any preliminary supporting evidence, the senior supervising officer concludes that the conduct, if proved, would constitute a basis for termination, the procedures below will apply.

##### **404.3.1 Notice of Charges.**

The senior supervising officer will promptly issue the Officer of Administration written notice of charges and a summary of the preliminary supporting evidence, and provide the Officer of Administration with an opportunity to respond within a specified time to the charges in a meeting and in writing. If the senior supervising officer determines that it would be in the best interests of the University for the Officer of Administration to be placed on paid administrative leave pending the results of an investigation, in the absence of extenuating circumstances the leave will be instituted with written notice to the Officer of Administration immediately following provision of the opportunity to respond to the charges.

##### **404.3.2 Investigation.**

The senior supervising officer will promptly commence an investigation responsive in nature and scope to the pending charges. If an investigative procedure otherwise relevant to the charges applies (such as those relating to investigative audits or discrimination complaints), the senior supervising officer will request initiation of such process and await its findings and recommendations. The investigation will be completed within twenty business days except in extenuating circumstances, in which latter case the senior supervising officer will advise the Officer of Administration in writing of the delay and the revised date for completion of the investigation.

#### **404.3.3 Notice of Decision.**

After the investigation is complete, the senior supervising officer will in writing convey its results to the Officer of Administration, who will be given an opportunity to respond to the senior supervising officer in writing within ten business days. The senior supervising officer will issue a final written decision within twenty business days of receipt of the written response to the investigative report or within twenty business days following expiration of the response period if no response is submitted. The senior supervising officer's decision shall include a reiteration of the charges; a ruling on the charges, including a summary of the supporting evidence and statement of rationale for the decision; if the decision is to terminate the appointment, the effective date of termination; and the appeal process, including the filing deadline.

#### **404.3.4 Appeal of Decision; Final Decision.**

The Officer of Administration may appeal to the President within ten business days following issuance of the senior supervising officer's decision. The appeal is made by the Officer of Administration filing with the President a notice of appeal and an explanation of the basis for the appeal. If an appeal is filed, the President will issue a final written decision within twenty business days of receipt of the appeal, a copy of which will be sent to the senior supervising officer. If the Officer of Administration does not appeal within the required time frame, or does not obtain from the President an extension of time within which to appeal for reasonable cause shown, the decision of the senior supervising officer shall be final. Compensation associated with the Officer of Administration appointment shall end as of the effective date of termination. Termination of the administrative appointment does not affect secondary faculty appointment status unless such status is suspended or terminated under procedures otherwise applicable to faculty appointments.

#### **405 Emeritus/a Status.**

The President may award the honorary title of emeritus to retiring Officers of Administration who served the University with distinction.

#### **406 Implementation.**

The President may establish such additional policies, procedures, and guidelines as may be necessary or desirable to implement the provisions of Part 400.

#### **407 - Officer of Administration Benefits.**

Information pertaining to current benefits afforded Officers of Administration is available at the following web site:

<http://www.uvm.edu/hrs/?Page=info/benefits/plans/officers.html>

## **APPENDICES**

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