



Faculty Handbook



OFFICE OF THE EXECUTIVE VICE PRESIDENT & PROVOST

FACULTY HANDBOOK

Hampton University
Hampton, Virginia

Office of the Executive Vice President and Provost

HAMPTON UNIVERSITY

CODE OF CONDUCT

Joining the Hampton Family is an honor and requires each individual to uphold the policies, regulations, and guidelines established for students, faculty, administration, professional and other employees, and the laws of the Commonwealth of Virginia. Each member is required to adhere to and conform to the instructions and guidance of the leadership of his/her respective area. Therefore, the following are expected of each member of the Hampton Family:

1. To respect himself of herself.

Each member of the Hampton Family will exhibit a high degree of maturity and self-respect and foster an appreciation for other cultures, one's own cultural background, as well as the cultural matrix from which Hampton University was born. It is only through these appreciations that the future of our university can be sustained indefinitely.

2. To respect the dignity, feelings, worth, and values of others.

Each member of the Hampton Family will respect one another and visitors as if they were guests in one's home. Therefore, to accost, cajole, or proselytize students, faculty or staff, parents or others, to engage in gender and sexual harassment, use vile, obscene or abusive language or exhibit lewd behavior, to possess weapons such as knives or firearms, or to be involved in the possession, use, distribution of and sale of illegal drugs is strictly prohibited and is in direct violation of the Hampton University Code, on or off campus.

3. To respect the rights and property of others and to discourage vandalism and theft.

Each member of the Hampton Family will refrain from illegal activity, both on and off campus, and will be subject to all applicable provisions listed in the Faculty Handbook, Personnel Policies Manual for Administrative/Professional and Non-exempt Employees, the Official Student Handbook, and the Hampton University Code.

4. To prohibit discrimination, while striving to learn from differences in people, ideas, and opinions.

Each member of the Hampton Family will support equal rights and opportunities for all regardless of age, sex, race, religion, disability, ethnic heritage, socio-economic status, political, social, or other affiliation or disaffiliation, or sexual preference.

5. To practice personal, professional, and academic integrity, and to discourage all forms of dishonesty, plagiarism, deceit, and disloyalty to the Code of Conduct.

Personal, professional, and academic integrity is paramount to the survival and potential of the Hampton Family. Therefore, individuals found in violation of Hampton University's policies against lying, cheating, plagiarism, or stealing are subject to disciplinary action which could possibly include dismissal from the University.

6. To foster a personal professional work ethic within the Hampton University Family.

Each employee and student of the Hampton Family must strive for efficiency and job perfection. Each employee must exhibit a commitment to serve and job tasks must be executed in a humane and civil manner.

7. To foster an open, fair, and caring environment.

Each member of the Hampton Family is assured equal and fair treatment on the adjudication of all matters. In addition, it is understood that intellectual stimulation is nurtured through the sharing of ideas. Therefore, the University will maintain an open and caring environment.

8. To be fully responsible for upholding the Hampton University Code.

Each member of the Hampton Family will embrace all tenets of the Code and is encouraged to report all code violators.

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PART I

INTRODUCTION

1.0 HAMPTON UNIVERSITY

Hampton University was established in 1868 as Hampton Normal and Agricultural Institute, with Samuel Chapman Armstrong as its first principal. In 1930, the name was changed to Hampton Institute to reflect the institution's expanded role in an industrial society.

For more than a century, Hampton Institute continued to expand its curricula, increase the size of its population, and respond to the demands of a rapidly changing society. Thus, in July 1984, the Board of Trustees, recognizing the comprehensive evolution of the institution, made the decision to change the corporate name to Hampton University, retaining the name Hampton Institute for the Undergraduate College and identifying the other principal units as the Graduate College and University College (formally the College of Continuing Education).

Hampton Institute—the Undergraduate College, consists of the following schools: Business, Engineering and Technology, Liberal Arts and Education, Journalism and Communications, Nursing, Pharmacy, and Science. These undergraduate schools have graduate components which maintain administrative linkages with the Graduate College. The University also includes the College of Virginia Beach and University College, which typically serve non-traditional students at local and distant sites. Each of the schools and colleges seeks to carry out the overall mission of the University.

1.1 STATEMENT OF MISSION

Hampton University is a comprehensive institution of higher education, dedicated to the promotion of learning, building of character, and preparation of promising students for positions of leadership and service. Its curriculum emphasis is scientific and professional with a strong

liberal arts undergirding. In carrying out its mission, the University requires that everything that it does be of the highest quality.

A historically black institution, Hampton University is committed to multiculturalism. The University serves students from diverse national, cultural, and economic backgrounds. From its beginnings to the present, the institution has enrolled students from five continents—North America, South America, Africa, Asia, and Europe—and many countries including Gabon, Kenya, Ghana, Japan, China, Armenia, Great Britain and Russia as well as the Hawaiian and Caribbean Islands and numerous American Indian nations. Placing its students at the center of its planning, the University provides a holistic educational environment. Learning is facilitated by a range of educational-offerings, a rigorous curriculum, excellent teaching, professional experiences, multiple leadership opportunities, and an emphasis on the development of character which values integrity, respect, decency, dignity, and responsibility.

Research and public service are integral parts of the Hampton’s mission. In order to enhance scholarship and discovery, faculty are engaged in writing, research, and grantsmanship. Faculty, staff, and students provide leadership and service to the University as well as to the global community. In achieving its mission, Hampton University offers exemplary programs and opportunities which enable students, faculty, and staff to grow, develop, and contribute to our society in a productive, useful manner.

1.2 ACADEMIC FREEDOM

Academic personnel accepting membership in the Hampton University community of scholars neither surrender rights nor escape fundamental responsibilities of law-abiding citizens. As educators, they are guaranteed academic freedom relative to the pursuit of teaching, research, scholarship, and service.

The University respects and protects the academic freedom of the faculty and endorses this portion of the 1940 Statement of Principles of the American Association of University Professors:

This statement is designed to promote public understanding and support of academic freedom and tenure and to encourage agreement upon procedures of ensuring that these values are perpetuated at colleges and universities. Institutions of higher education exist for the common good and not for the purpose of furthering the interest of either the individual teacher or the institution as a whole. The common good is served when individuals are able to search freely for truth and to engage openly in its exposition.

Academic freedom is essential to these purposes and applies to both teaching and research. Freedom in research is fundamental to the advancement of truth. Academic freedom, as manifested in teaching, is fundamental for the protection of the teacher's rights to teach freely and of the student's rights to learn freely. However, academic freedom carries with it the following duties correlative with those rights:

1. The teacher is entitled to full freedom in research and in the publication of the results, subject to the adequate performance of his/her other academic duties, but research for pecuniary return should be based upon an understanding with the authorities of the institution.
2. The teacher is entitled to freedom in the classroom in discussing his/her subject, but should be careful not to introduce into teaching controversial matter which has no relation to subject. Limitations of academic freedom

because of religious or other aims of the institution should be clearly stated in writing at the time of the appointment.

3. The university teacher is a citizen, a member of a learned profession, and an officer of an educational institution. When one speaks or writes as a citizen, he/she should be free from institutional censorship or discipline, but his/her special position in the community imposes special obligations. As a person of learning and an educational officer, the teacher should remember that the public may judge the profession and the institution by the professor's utterances. Hence, he/she 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 he/she is not an institutional spokesperson.¹

1.3 EQUAL EMPLOYMENT OPPORTUNITY/ AFFIRMATIVE ACTION POLICY

The University is committed to being an Equal Employment Opportunity and Affirmative Action Employer. The University is a government contractor and, in accordance with the dictates of Executive Order 11246, has adopted a policy of affirmative action in employment with respect to all the University employees. Moreover, as required by the provisions of Executive Order 11246, the Vietnam Era Veterans Readjustment Assistance Act of 1974 ("VEVRAA"), as amended, and Section 503 of the Rehabilitation Act of 1973 ("Section 503"), as amended, the University is committed to an Affirmative Action Program and takes affirmative action to attract qualified candidates for employment who are minority, female, individuals with disabilities, and

¹ American Association of University Professors Bulletin, 27:40-46, February 1941. Readjustment Assistant Act of 1974, as amended, and Section 503 of the Rehabilitation Act of 1973.

protected veterans. This Affirmative Action Program has the full support of the University's President, who has appointed the Director of Human Resources as the Equal Employment Opportunity Officer ("EEO Officer") for the University. The Office of Human Resources is located in the Armstrong-Slater Building, Room 110, Hampton, Virginia 23668. The telephone number is (757) 727-5250.

The University bases its employment decisions on the principle of equal employment opportunity. The University will recruit, hire, train, and promote individuals in all job titles and administer all other personnel actions without regard to an individual's race, sex, pregnancy, sexual orientation, gender identity, religion, color, national origin, age, disability, genetic information, or military or veteran status, including protected veteran status. Further, the University will require that employees and applicants not be subjected to discrimination or harassment on the basis of race, sex, pregnancy, sexual orientation, gender identity, religion, color, national origin, age, disability, genetic information, or military or veteran status, including protected veteran status. The University also prohibits retaliation, including intimidation, threats, or coercion, because an employee or applicant has objected to discrimination, engaged or may engage in filing a complaint, assisted in a review, investigation, or hearing or have otherwise sought to exercise their legal rights under Executive Order 11246, Title VII of the Civil Rights Act of 1964, as amended, Section 503 or VEVRAA.

In furtherance of the University's policy regarding Affirmative Action and Equal Employment Opportunity and as required by Executive Order 11246, Section 503 and VEVRAA, the University has developed a written Affirmative Action Program, which sets forth the policies, practices, and procedures to which the University is committed in order to ensure that its policies of non-discrimination and affirmative action are accomplished. The Affirmative Action Program

is available in the Office of Human Resources for inspection by any employee or applicant upon request.

The EEO Officer is responsible for the overall application of the equal employment opportunity/affirmative action policy and administration of the affirmative action plan. In addition, each department head/supervisor is designated as the person responsible for the application of this policy within their department. This includes initiating or supporting programs and practices designed to develop understanding, acceptance, commitment, and compliance by each supervisor and all employees in the department.

1.3.1 DISCRIMINATION, HARASSMENT, AND RETALIATION POLICY

The University does not discriminate against individuals in employment on the basis of race, sex, pregnancy, sexual orientation, gender identity, religion, color, national origin, age, disability, genetic information, or military or veteran status, including protected veteran status, or protected activity, nor does it tolerate any form of harassment in the workplace against individuals on the basis of their race, sex, pregnancy, sexual orientation, gender identity, religion, color, national origin, age, disability, genetic information, military or veteran status, including protected veteran status, or protected activity. Protected activities include, for example, making a complaint of discrimination or harassment or participating in an investigation of such a complaint. This prohibition of discrimination and harassment applies to all terms and conditions of employment from the hiring stage through the cessation of employment.

Harassment is a form of discrimination and can take many forms. Harassment includes conduct or behavior that is insulting or derogatory to an individual based on race, sex, pregnancy, sexual orientation, gender identity, religion, color, national origin, age, disability, genetic information, military or veteran status, including protected veteran status or protected activity.

Harassment can include, for example, racial, ethnic, sexual, or religious insults or jokes, unwelcome comments, or conduct or stereotyping on the basis of one of the above delineated protected classifications. Sexual harassment includes unwelcome sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature.

Any unwelcome behavior constitutes harassment in violation of this policy when: (1) submission to such conduct is made a term or condition of an individual's employment, (2) submission to or rejection of such conduct by an individual is used as the basis for employment decisions affecting such individual, or (3) such conduct has the purpose or effect of unreasonably interfering with an individual's work performance or creates an intimidating, hostile or offensive working environment.

The University requires all of its employees, as a condition of employment, to act in accordance with this policy of non-discrimination, non-harassment, and equal opportunity for all individuals regardless of their race, sex, pregnancy, sexual orientation, gender identity, religion, color, national origin, age, disability, genetic information, military or veteran status, including protected veteran status or protected activity.

Employees may be confident that the University prohibits and will not tolerate any form of retaliation against employees who, in good faith, make a complaint of discrimination or harassment, assist in making such a complaint, or cooperate in an investigation of such a complaint.

Coordination of Discrimination, Harassment, and Retaliation Policy with

Sexual Discrimination and Misconduct Policy

Instances may arise where conduct in violation of this Discrimination, Harassment, and Retaliation Policy also constitutes a violation of the University's Sexual Discrimination and Misconduct Policy. In all instances in which the conduct may constitute a violation of both the

Discrimination, Harassment, and Retaliation Policy and the Sexual Discrimination and Misconduct Policy, the procedures in the Sexual Discrimination and Misconduct Policy (Section 3.18) are the procedures that will be followed by the University to address the conduct, the reporting, investigation, resolution, and any other component of the University's review of the matter.

Grievance Procedure

Hampton University has adopted an internal grievance procedure providing for prompt and equitable resolution of complaints alleging discrimination or harassment. Any employee who believes that he or she has been discriminated against or harassed on the basis of race, sex, pregnancy, sexual orientation, gender identity, religion, color, national origin, age, genetic information, or military or veteran status, including protected veteran status, or protected activity has the right to file a grievance in accordance with this section.

As noted above, complaints of discrimination on the basis of sex or of sexual harassment or misconduct are governed by the University's Sexual Discrimination and Misconduct Policy set forth in Section 3.18 and such complaints will be handled in accordance with that policy. In addition, complaints of discrimination or harassment on the basis of disability shall be handled in accordance with the grievance procedure set forth in Section 1.3.2. All other complaints of discrimination or harassment may be made in accordance with this grievance procedure, as follows:

1. An employee should make the complaint verbally or in writing to the Director of Human Resources, unless the complaint is against the Director of Human Resources, in which case it shall be directed to the Assistant Director of Human Resources.

2. In making the complaint, the employee should provide sufficient information to identify the parties involved, any witnesses, the alleged discrimination, and all facts that support the allegations of discrimination.
3. The Director of Human Resources or Assistant Director of Human Resources shall immediately begin an investigation of the complaint. The investigation will involve meeting with all parties and witnesses. The complainant and the person(s) against whom the allegation(s) of discrimination or harassment have been made, and their respective representatives, if any, will be provided an opportunity to submit information, written statements and documentation regarding the complaint allegations.
4. Within 30 days of receipt of the complaint, a written determination, including investigative findings as to the validity of the complaint and a description of the resolution and corrective action and/or discipline to be taken, if any, shall be issued by the Director of Human Resources and a copy forwarded to the complainant and the person against whom the complaint has been made. To the extent appropriate, interim measures for the protection of the complaining party may be taken while the investigation is pending.
5. Either party may appeal the findings of an investigation by submitting a written document within seven (7) days of receipt of the determination to the Office of the Executive Vice President and Provost, Hampton University, Hampton, VA 23668, who shall designate an individual or individuals to hear the appeal. The appeal must specify with particularity the irregularities of the investigator's determination. The Office of the Executive Vice President and Provost must inform the appealing party of the appeal decision within fourteen (14) days of the receipt of the appeal.

6. Although the University will make every effort to comply with these timelines, circumstances such as school breaks may justify an extension of time. If such an extension is warranted, the parties will be advised.
7. Retaliation against any person who files a complaint of alleged discrimination or harassment, participates in an investigation, or opposes a discriminatory or harassing employment or education practice or policy is prohibited under University policy and by state and federal law. An individual who believes he or she was subjected to retaliation can file a complaint about the alleged retaliation utilizing these procedures. If it is determined that retaliation has occurred, sanctions may be imposed, including, but not limited to, suspension or termination.

1.3.2 DISABLED APPLICANTS AND/OR EMPLOYEES

Notice of Non-discrimination based on Disability

As referenced above, the University has an affirmative action policy in accordance with the mandates of Executive Order 11246 and is an equal opportunity employer. The University prohibits discrimination against applicants and/or employees with disabilities as defined in the Americans with Disabilities Act, the Virginians with Disabilities Act, the Virginia Human Rights Act, and Section 503 and 504 of the Rehabilitation Act.

The University adheres to the principles of equal education and employment opportunity and does not discriminate on the basis of disability. This policy extends to all students and employees and applicants for admission and/or employment. Further, it extends to all programs and activities supported by the University, including the Undergraduate College, University College, College of Virginia Beach, and the Graduate College. The following person has been designated to handle inquiries regarding the University's policies prohibiting discrimination on the

basis of disability and compliance with Section 504 of the Rehabilitation Act: Director of Compliance and Disability Services, 212 Wigwam Building, Hampton University, Hampton, Virginia 23668, (757) 727-5493.

Disability Services

Hampton University is committed to a policy of ensuring that no otherwise qualified individual with a disability is excluded from participation in, denied the benefits of, or subjected to discrimination in University programs or activities due to his or her disability. The University is fully committed to complying with all requirements of the Americans with Disabilities Act of 1990 (ADA) and Section 504 of the Rehabilitation Act of 1973 (Section 504) and to providing equal educational opportunities to otherwise qualified students and employees with disabilities. The Director of Compliance and Disability Services provides and coordinates accommodations, support services and auxiliary aids for qualified students and employees with disabilities. Students and employees in need of disability services should contact the Director of Compliance and Disability Services, 212 Wigwam Building, Hampton University, Hampton, Virginia 23668, (757) 727-5493.

Accommodation Request Procedures

1. To receive an accommodation under the ADA, an employee must file an application (**Request for Accommodation** form) with the Director of Compliance and Disability Services, located in 212 Wigwam Building, Hampton University, Hampton, Virginia 23668 (757) 727-5493. **The form is available in 212 Wigwam Building and also at the University's website.** Requests for accommodations should be made far enough in advance to allow the Director of Compliance and Disability Services adequate time to

evaluate the documentation and coordinate needed services. Generally it is best to request needed services before a semester begins or as soon as a disability becomes known.

2. Employee must provide documentation of his/her disability and how it limits his/her participation in courses, programs, services, jobs, activities, and/or facilities of the University or limits an employee's ability to perform the essential functions of his/her job. Documentation of the disability should be timely and from appropriate professionals licensed to diagnose the employee's disability. Medical documentation will be retained only by the Director of Compliance and Disability Services and will be kept confidential.
3. The Director of Compliance and Disability Services makes the determination of whether the employee is eligible for accommodations under the ADA. The Director of Compliance and Disability Services and the employee will discuss what assistance is needed. The Director of Compliance and Disability Services will provide written notice to the appropriate supervisor verifying the disability and indicating the nature of the accommodation required, a copy of which will also be provided to the employee.
4. If there is a discrepancy between opinions of the supervisor and the Director of Compliance and Disability Services regarding what adjustments are appropriate, the Director of Compliance and Disability Services will consult with the supervisor and gather additional information necessary to determine an appropriate accommodation. It is the responsibility of the Director of Compliance and Disability Services to determine the accommodation in a particular case, taking into account the content of the course/nature of the job, the employee's disability, and the documentation from an appropriately credentialed professional. Nothing in these procedures requires the University or an academic unit to

fundamentally alter the nature of its academic program or fundamentally alter the essential functions of a job.

5. Employees are responsible for notifying the Director of Compliance and Disability Services if reasonable accommodations are not implemented in an effective and timely manner.

Section 504/ADA - Grievance Procedure

The University has adopted an internal grievance procedure providing for prompt and equitable resolution of complaints alleging discrimination based on disability. Any employee who believes that he or she has been subjected to discrimination or harassment on the basis of disability, who disagrees with the eligibility and/or accommodation decisions made by the Director of Compliance and Disability Services, or who is not provided an accommodation in an effective and timely manner, has the right to file a grievance in accordance with this grievance procedure.

1. An employee should make the complaint verbally or in writing to the Director of Compliance and Disability Services, unless the complaint is against the Director of Compliance and Disability Services, in which case it shall be directed to Mr. Morgan Russell.
2. In making the complaint, the employee should provide sufficient information to identify the parties involved, any witnesses, the alleged discrimination, and all facts that support the allegations of discrimination.
3. The Director of Compliance and Disability Services shall immediately begin an investigation of the complaint. The investigation will involve meeting with all parties and witnesses. The complainant and the person(s) against whom the allegation(s) of discrimination or harassment have been made, and their respective representatives, if any,

will be provided an opportunity to submit information, written statements, and documentation regarding the complaint allegations.

4. Within thirty (30) days of receipt of the complaint, a written determination, including investigative findings as to the validity of the complaint and a description of the resolution and corrective action and/or discipline to be taken, if any, shall be issued by the Director of Compliance and Disability Services and a copy forwarded to the complainant and the person against whom the complaint has been made. To the extent appropriate, interim measures for the protection of the complaining party may be taken while the investigation is pending.
5. Either party may appeal the findings of an investigation by submitting a written document within seven (7) days of receipt of the determination to the Office of the Executive Vice President and Provost, Hampton University, Hampton, VA 23668 who shall designate an individual/individuals to hear the appeal. The appeal must specify with particularity the irregularities of the investigator's determination. The Office of the Executive Vice President and Provost must inform the appealing party of the appeal decision within fourteen (14) days of the receipt of the appeal.
6. Although the University will make every effort to comply with these timelines, circumstances, such as school breaks, may justify an extension of time. If such an extension is warranted, the parties will be advised.
7. Retaliation against any person who files a complaint of alleged discrimination or harassment, participates in an investigation, or opposes a discriminatory or harassing employment or education practice or policy is prohibited under University policy and by state and federal law. An individual who believes he or she was subjected to retaliation can

file a complaint about the alleged retaliation under these procedures. If it is determined that retaliation has occurred, sanctions may be imposed including, but not limited to, suspension or termination.

1.3.3. PAY TRANSPARENCY POLICY

The University will not discharge or in any other manner discriminate against employees or applicants because they have inquired about, discussed, or disclosed their own pay or the pay of another employee or applicant. However, employees who have access to the compensation information of other employees or applicants as a part of their essential job functions cannot disclose the pay of other employees or applicants to individuals who do not otherwise have access to compensation information, unless the disclosure is (a) in response to a formal complaint or charge, (b) in furtherance of an investigation, proceeding, hearing, or action, including an investigation conducted by the employer, or consistent with the contractor's legal duty to furnish information.

1.4 GOVERNANCE OF THE UNIVERSITY

The Board of Trustees of Hampton University shall serve as the governing body of the University and shall operate the institution in accordance with the educational purposes for which it is chartered. To that end, its duties shall be, among others, to hold and develop the property of Hampton University, to manage and operate its schools and colleges, to conduct the business of Hampton University, to determine the controlling educational policies of Hampton University and to interpret these polices to the public, and to authorize the granting of degrees.²

² Hampton University Bylaws, Hampton, Virginia, 2001, p.1.

1.4.1 PRESIDENTIAL/TRUSTEE RELATIONSHIP

The President, responsible to the Board of Trustees, shall be a member of the Board of Trustees and its administrative and contracting agent for implementation of Board decisions. He or she shall be the official medium of communication between the Board and the Faculty, and between either Board or Faculty and any person or group of persons in any relationship to Hampton University.

The President shall receive and transmit to the Board or appropriate committee of the Board all resolutions and petitions affecting the welfare of Hampton University. He/she shall execute contracts with members of the staff, faculty, and administrators. The President shall have final administrative authority in the internal affairs of Hampton University and shall be a contracting officer.³

1.4.2 FACULTY/TRUSTEE RELATIONSHIP

The President is the official medium of communication between the Board of Trustees and the faculty. The Board of Trustees seeks to establish a communication link with the faculty through meeting with two standing committees of the University and with other individuals whom it and the President deem appropriate. Thus, at the spring and fall meetings, the Academic Affairs Committee of the Board meets with the Faculty Committee on Board Relationships and the Committee on the Instructional Program. The agenda for these meetings is approved by the Executive Vice President and Provost and transmitted through the President to the Board.

³ Bylaws, p.7.

1.4.3 OFFICERS OF HAMPTON UNIVERSITY

The officers of the University shall be the President, the Executive Vice President and Provost, the Vice President for Business Affairs and Treasurer, the Secretary of the University, and such others as the Board may designate. ⁴

⁴ Bylaws, p.7.

PART II

2.0 ORGANIZATION AND ADMINISTRATION

Hampton University is composed of four basic academic units: Hampton Institute, the Undergraduate College, the Graduate College, the College of Virginia Beach, and University College. However, each of the units is viewed as a semi-autonomous operating unit with specially assigned goals. These units are mutually re-enforcing and are held together through the overall mission of the University, common policies and procedures, an information network, and shared central services of the umbrella structure, Hampton University. Academic personnel appointed to any one unit or to a combination of units are contractually under the jurisdiction of the corporate body, Hampton University. The Board of Trustees or the President reserves the right to modify the organizational structure and to create and disestablish any position at will.

2.1 PRESIDENT

The President, responsible to the Board of Trustees, serves as the Chief Executive Officer of Hampton University. As such, the President is charged with providing overall leadership and management for the entire institution, carrying out the policies of the Board of Trustees, and achieving major objectives. The President is charged with the ultimate responsibility of providing and maintaining an environment which is conducive to teaching, learning, research, and public service. The President is also chairman of the Faculty and serves as *ex-officio* member of all University committees.

2.1.1 THE ADMINISTRATIVE COUNCIL

The Administrative Council is composed of the President and those who serve the University in administrative capacities – the Executive Vice President and Provost, the Chief of Staff to the President, the Senior Vice President, the Vice President for Administrative Services,

the Vice President for Business Affairs and Treasurer, the Vice President for Development, the Associate Vice President for Development, the Assistant Vice President for Development, the Vice President for Research and Associate Provost, the Vice President and General Counsel, and such others as the President may designate. This body has the authority to make policies affecting the internal operations of the University within the guidelines and parameters as established by the Board of Trustees. The Administrative Council also serves as the President's Cabinet.

2.1.2 VICE PRESIDENT AND GENERAL COUNSEL

The Vice President and General Counsel has responsibility for advising the University on various legal matters as they may pertain to the University and its constituent components. This officer is responsible to the President and assists in the overall review and enforcement of University policies, guidelines, and procedures. The Vice President and General Counsel also serves as Secretary of the University. He/she is responsible for preserving official records of the Board of Trustees and for insuring congruency of the bylaws of other constituent groups in the bylaws of the Board.

2.1.3 CHIEF OF STAFF

The Chief of Staff to the President has responsibility for representing the President with external and internal groups, working in conjunction with vice presidents to resolve problems impacting the Office of the President, managing the training and developmental programs for University administrators, preparing documents and reports produced and issued by the Office of the President, coordinating the management of correspondence for the Office of the President, and representing the Office of the President on the Committee on Ceremonial Occasions. This officer reports directly to the President of the University and is a member of the Administrative Council.

2.1.4 UNIVERSITY CHAPLAIN

The Chaplain of the University serves as the spiritual leader of the University. In this capacity, the Chaplain is responsible for the interdenominational activities relative to religious life. Administratively, the Chaplain reports to the Vice President for Research and Associate Provost.

2.1.5 SECRETARY OF THE UNIVERSITY

The Secretary of the University, a role performed by the Vice President and General Counsel, is secretary of the corporation and is responsible to the President and to the Chairperson of the Board of Trustees. The Secretary has responsibility for preserving official records of the Board of Trustees and for insuring congruency of the bylaws of other constituent groups with the bylaws of the Board.

2.2 EXECUTIVE VICE PRESIDENT AND PROVOST

The Executive Vice President and Provost is the Chief Operating Officer at the University and has responsibility for all academic affairs. This responsibility includes the University's colleges, schools, departments, other academic and support units, faculty, and students. This individual is responsible for the implementation of actions relating to educational policies and academic appointees. He/she shall be responsible for actions taken by the faculty, preside at faculty meetings in the absence of the President and shall serve as ex-officio member of all University committees. This officer reports to and is responsible to the President.

2.2.1 ASSISTANT PROVOST FOR ACADEMIC AFFAIRS

The Assistant Provost for Academic Affairs has the primary responsibility for adjudication of academic student matters. He/she is also responsible for ensuring teaching excellence through screening prospective faculty candidates and through orchestrating faculty development training, which includes the oversight of the Center for Teaching Excellence. This individual shall be

responsible for the periodic review of academic programs and for overseeing the post-tenure review process. In the absence of the Executive Vice President and Provost, this individual assumes authority for the functional operations of the office. Reporting to the Executive Vice President and Provost, this officer represents the Executive Vice President and Provost in matters involving faculty issues.

2.2.2 DIRECTOR OF THE CENTER FOR TEACHING EXCELLENCE

The Director of the Center for Teaching Excellence is charged with cultivating and implementing comprehensive and professional development programs, incorporating multiple forms of assessment (for students and for the faculty), supplying a cadre of classroom instructional techniques, and providing a supportive environment conducive to faculty growth and research.

The Center for Teaching Excellence focuses on strategies, practices, effective teaching and learning styles that equate into a diverse and globally exposed student. Faculty members and the Office of the Center for Teaching Excellence work together as a team to produce a student capable of functioning in a lifelong framework. The Director reports to the Assistant Provost for Academic Affairs.

2.2.2.1 DIRECTOR OF THE CENTER FOR INFORMATION TECHNOLOGY

Reporting to the Senior Vice President, the Director of the Center for Information Technology (CIT) ensures the operational excellence of academic, administrative, and research information technology to support and advance all aspects of the University's mission. The CIT Director collaborates across the multi-campus University enterprise (including Hampton University-Virginia Beach Campus, HU Online, and Hampton University Proton Therapy Institute) with senior leaders, deans, faculty, staff, students, and other key campus stakeholders to

identify opportunities to leverage technology in ways that support the goals of teaching and learning, research and discovery, and outreach.

To understand how CIT functions and the CIT Director's overall responsibility for University IT operations, it is important to think of them in terms of supply and demand. Demand for IT services is managed by the Senior Vice President. The CIT Director, the Information Technology Advisory Committee (ITAC), and IT liaisons engage with the campus community and institutional leaders as part of the IT governance process to understand the institution's technology needs and priorities. They then bring the articulated needs back to the Senior Vice President, CIT leadership team and/or the ITAC, as appropriate, and work with the specific IT personnel responsible for delivering services.

In terms of supply, the Director oversees three teams within CIT with distinct IT service responsibilities:

- Customer Service (IT functions that most directly “touch” the customer)
- University/Enterprise Systems (Applications that enable students, faculty, staff and administrators)
- Technology Infrastructure (Infrastructure solutions, e.g. email, network services, and database systems)

2.2.2.2 DIRECTOR OF THE COMPUTER CENTER

The Director of the Computer Center serves as head of business data processing activities at the University. This officer reports to the Vice President for Business Affairs and Treasurer.

2.2.3 SCHOOL/COLLEGE DEANS AND DIRECTORS

The School/College Deans and Directors at Hampton University are major administrators and are members of the Academic Leadership Team. Deans are responsible for the implementation of sound educational policies and for effective management of personnel or programs, and fiscal resources. They are also accountable for the overall quality of academic programs, faculty, students, and graduates within the school. These individuals have responsibility for fund-raising and for professional activities which support the budget and/or enhance the reputation of the school. Specific duties and responsibilities are defined by the President and the Executive Vice President and Provost. Deans and Directors report directly to the Executive Vice President and Provost.

2.2.3.1 RESPONSIBILITIES OF THE DEANS

Specific duties and responsibilities include, but are not limited to, the following:

Administrative/Fiscal Management/Fundraising

- Receive and review dossiers for tenure and promotion.
- Conduct evaluations of chairs and faculty using performance contracts, student evaluations, and observations of teaching performance.
- Process and recommend salary increments from chairs and faculty.
- Monitor the assessment of graduating seniors.
- Initiate the development of long range plans and curriculum review.
- Monitor and assist with the development of program budgets.
- Facilitate pursuit of accreditation by non-accredited programs and continued accreditation of previously accredited programs.
- Serve as mentor to aspiring faculty who are interested in acquiring leadership positions.

- Serve as role model to faculty through continued involvement in research and other scholarly activities.
- Secure 1/3 of operational budget.

Institutional Leadership

- Facilitate the accomplishment of institutional committee objectives.
- Demonstrate initiative in improving academic programs of the college.
- Maintain the academic standards of the college.
- Enhance the prestige of the college through professional activities, research, publications, and creative and scholarly activities.
- Participate in non-mandatory cultural and professional activities of the department, school, and college.
- Assume responsibility for institutional committee objectives.

Instructional Leadership

- Provide leadership in curriculum development.
- Monitor academic programs in terms of accreditation standards in disciplines within department/division and/or school.
- Maintain contingency plans to accommodate unforeseen changes within the academic setting.
- Implement a well-defined counseling and advisement program for students.
- Implement effective student recruitment and community outreach programs for attracting qualified students.
- Implement retention/tutorial programs for students.
- Provide leadership in developing, reviewing, revising, or deleting programs.

- Provide leadership to faculty in proposal writing, research, and other scholarly/creative activities.
- Implement a follow-up study of graduates of the department/school.
- Provide the leadership in implementing accountability programs for majors in the area.

2.2.3.2 SCHOOL/COLLEGE ASSISTANT DEANS

The School/College Assistant Deans work with the Deans in the daily operation and management of the unit to which they are assigned. The specific duties of Assistant Deans are defined by the respective Dean. In the absence of the Dean, the Assistant Dean assumes authority for the functional operation of all aspects of the school/college. Assistant Deans report to their respective Dean.

2.2.3.3 ASSISTANT TO THE DEAN

The Assistant to the Dean serves to execute the duties delegated by the Dean related to the administration of the School/College. These duties include, but are not limited to, representing the Dean of the School/College at selected meetings and campus events, adjudicating student issues, and exercising oversight, at the discretion of the Dean, of the administration of departments/programs within the School/College

2.2.3.4 DEPARTMENT CHAIRPERSONS/COORDINATORS

Department Chairpersons at Hampton University serve dual roles as administrators and faculty members. They are expected to articulate administrative goals and directives to the faculty in a manner that enhances the smooth operation of Hampton University and to carry out the specific responsibilities assigned. They have responsibility for scheduling classes for students, advising students, monitoring faculty syllabi and classes to ensure excellence in teaching, and other duties as assigned by the Dean. Chairpersons report to academic Deans of the school to which they are

assigned. (A Coordinator is an administrative term used to designate an individual who supervises an area of study.)

2.2.3.4.1 RESPONSIBILITIES OF DEPARTMENT CHAIRPERSONS

Chairpersons are expected to execute the following:

- Serve as administrative officers responsible for developing the short and long-range plans for the academic unit;
- Maintain departmental educational programs which require meeting regional, state, national, and (where applicable) specialized accreditation standards;
- Project and administer departmental budgets within fiscal constraints;
- Recruit and select faculty who demonstrate excellent knowledge of their disciplines and have especially effective teaching strategies and who serve as role models for the students;
- Evaluate faculty to determine quality of performance for promotion, tenure, retention, salary increments and merit consideration;
- Recommend to School Dean, approval or disapproval of faculty applying for promotion and/or tenure;
- Encourage faculty to engage in research and other scholarly activities, and to publish scholarly works;
- Implement a comprehensive student advisement program leading towards graduation in the major;
- Provide adequate preparation and opportunity to assure that departmental majors are competitive in their performance on national examinations;
- Maintain a viable and competitive academic program;

- Assist in the recruitment of students for the department;
- Maintain personal involvement in research and professional development activities;
- Obtain external funds from grants and research projects through personal initiative as well as through providing assistance to departmental faculty in writing proposals and carrying out research;
- Encourage students and faculty to organize and participate in cultural enrichment activities;
- Serve as ambassadors of the University to faculty, students and the society at-large; and
- Develop a well-defined retrenchment plan when there is growing evidence of a decline in majors.

2.2.4 DEAN OF UNIVERSITY COLLEGE

University College operates administratively as an independent unit in terms of programs, degree offerings, and budget. The University College Policy Council has responsibility for analyzing, monitoring, and recommending programs to be offered in this College to the Administrative Council. The Dean serves as the Administrative Officer of University College and Chair of the University College Policy Council. This individual has responsibility for developing, evaluating and maintaining quality control of courses, seminars, and workshops as well as degree-granting programs at the associate, baccalaureate, and master's levels. The Dean also has major responsibility for developing program linkages with external agencies, such as military, business, social, governmental and educational agencies. In addition, the Dean serves as a liaison officer between other colleges and schools offering courses through this college. The specific duties and responsibilities of the Dean of University College are defined by the President of the University and the Executive Vice President and Provost. In addition, he/she is also expected to fulfill all

other duties of Deans as outlined in 2.1.3.1. This individual reports to the Executive Vice President and Provost.

2.2.5 VICE PRESIDENT FOR RESEARCH AND ASSOCIATE PROVOST/DEAN OF THE GRADUATE COLLEGE

The Vice President for Research and Associate Provost/Dean of the Graduate College is responsible for coordination and recruitment activities for graduate programs, verification of applicants, English proficiency, and acceptance of graduate students theses and dissertations. The Vice President for Research and Associate Provost/Dean of the Graduate College is expected to secure external funds to support University fellowships and scholarship programs and perform other duties as assigned and he/she is also expected to fulfill all other duties of Deans as outlined in 2.1.3.1. This individual reports to the Executive Vice President and Provost.

2.2.6 DIRECTOR OF THE COLLEGE OF VIRGINIA BEACH

The Director of the College of Virginia Beach is primarily responsible for the daily administrative operations of the College. These responsibilities can be defined in three major areas: administrative, academic, and external relations. Administrative functions include the supervision of support staff, budget management, and the coordination of facility usage. Major academic functions include course scheduling and the identification of faculty for each term. The Director is also responsible for being an ambassador and visible presence in the Virginia Beach community. This individual reports to the Executive Vice President and Provost.

2.2.7 DIRECTOR OF THE UNIVERSITY LIBRARY

The Director of the University Library is responsible for the administration of the Library. The Director's duties include making recommendations for the budget, appointing all library staff members, enforcing the rules and regulations governing the library, periodically upgrading the

library's holdings, and providing for an orderly environment conducive to study and effective access to all learning materials. The Director also has major responsibility for providing leadership and resources which support research and teaching. This individual reports to the Executive Vice President and Provost.

2.2.8 DIRECTOR OF THE UNIVERSITY MUSEUM

The Director of the University Museum is responsible for the administration of the Museum and the University Archives. The Director's duties include making recommendations for the budget, appointing all museum staff members, enforcing the rules and regulations governing the Museum, and selecting and purchasing all materials for the Museum. The Director maintains a museum program which supports research and teaching as well as provides service to the University and larger community. This individual reports to the Executive Vice President and Provost.

2.2.9 DIRECTOR OF SUMMER SESSION

The Director of Summer Session administers, organizes, and operates the Summer Session. The Director encourages the development of summer programs through interaction with Deans, Chairpersons, and faculty; coordinates special programs; reviews applications and admits students to the Summer Session; serves as the budget executive; prepares the Summer Session catalog; prepares Summer Session faculty contracts; promotes Summer Session programs; and participates in professional Summer Session organizations. The Director reports to the Executive Vice President and Provost.

2.2.9.1 DIRECTOR OF THE PRE-COLLEGE/SUMMER BRIDGE PROGRAM

The Director of the Pre-College/Summer Bridge Program is responsible for enrolling promising graduates from outstanding secondary schools. The Director's duties and responsibilities include conducting student orientations, providing academic counseling, and facilitating seminars. The Director is also responsible for the hiring of support staff and qualified faculty, and providing tutoring for students in mathematics and English. This individual reports to the Director of the Summer Session and to the Vice President for Administrative Services.

2.2.10 DIRECTOR OF THE HONORS COLLEGE

The Director of the Honors College has responsibility for the general supervision, organization, program development, and fund-raising for student stipends in collaboration with the Development Office. The Director assumes responsibility for developing campus-wide honors programs for all disciplines and honors living centers, and a University honors code. This individual reports to the Executive Vice President and Provost.

2.2.11 INTERNATIONAL OFFICE

The International Office administers and oversees the development of cooperative agreements and exchange programs; seeks grant funding for international studies, international visitors, Fulbright scholarships, University linkages, and study abroad; facilitates distance learning; and assists academic departments in their efforts to internationalize curricula and programs of study. The office personnel serve as the advisors to international students. This office reports to the Executive Vice President and Provost.

2.2.12 UNIVERSITY EDITOR

The University Editor is responsible for proofreading, editing, and revising official written documents produced and issued by the Offices of the Executive Vice President and Provost, the vice presidents, University Relations, and Alumni Affairs. Such documents include those intended for both on- and off-campus distribution. The University Editor reports to the Executive Vice President and Provost.

2.3 VICE PRESIDENT FOR BUSINESS AFFAIRS AND TREASURER

The Vice President for Business Affairs and Treasurer has responsibility for the business administration of Hampton University and the maintenance of the University's physical properties. This officer also has responsibility for staff personnel, auxiliary enterprises, and safety and security. This individual is responsible to the President and assists and represents the President in the area of financial affairs and other activities as assigned.

2.3.1 DIRECTOR OF HUMAN RESOURCES

The Director of Human Resources is responsible for all matters relating to the welfare of educational support staff and for providing information on fringe benefits to academic personnel. This individual keeps a record of such benefits for all employees and reports to the Vice President for Business Affairs and Treasurer.

2.4 VICE PRESIDENT FOR DEVELOPMENT

The Vice President for Development has responsibility for the initiation, implementation, and administration of fund-raising activities for the University. This individual also has responsibility for the coordination of fund-raising programs such as local annual giving, alumni giving, corporate and foundation giving as well as special projects. This officer is responsible to

the President, and assists and represents the President in the area of fund-raising and other activities as assigned.

2.4.1 ASSOCIATE VICE PRESIDENT FOR DEVELOPMENT

The Associate Vice President for Development is primarily responsible for fund-raising tasks, including but not limited to, prospect research, and the cultivation and solicitation of private gifts and contributions. This person is also responsible for facilitating federal grants and contracts through faculty collaboration and support functions. The Associate Vice President for Development works under the supervision of the Vice President for Development and assists in the implementation of all capital campaigns and various fund-raising initiatives.

2.4.2 DIRECTOR OF ALUMNI AFFAIRS

The Director of Alumni Affairs is responsible for initiating direct contact with Hampton University's alumni. The Director administers on- and off-campus programs designed to maintain alumni interest in, and support of, Hampton University. This individual reports to the Vice President for Development.

2.4.3 DIRECTOR OF UNIVERSITY RELATIONS

The Director of University Relations is responsible for administering and coordinating a program of university relations that maintains a high level of public interest in, and understanding of, the institution and its programs. The Office of University Relations is responsible for maintaining contacts with the news media and for reporting faculty news and releases to both the print and electronic media. The Director reports to the Vice President for Marketing/Media.

2.5 VICE PRESIDENT FOR RESEARCH

The Vice President for Research administers and coordinates research programs and provides leadership to faculty in developing grant proposals to support research activities for units within the University. This individual reports directly to the President of the University.

2.5.1 ASSISTANT VICE PRESIDENT FOR GRANTS MANAGEMENT

The Assistant Vice President for Grants Management is responsible for control of budgets, expenditures of grants, and ensures that reports of expenditures are submitted to the granting agencies as stipulated in grant awards. This individual reports to the Vice President for Research.

2.6 VICE PRESIDENT FOR ADMINISTRATIVE SERVICES

The Vice President for Administrative Services is responsible for providing leadership and facilitating the development of policies, procedures, and programs. Maximum student development is integrated through such student personnel services as residence hall living, health services, career counseling and planning, assessment and counseling, testing services, freshman studies, and student activities.

As the Chief Student Affairs Officer, the Vice President for Administrative Services represents the Student Affairs Division in University-wide councils, serves as a member of the Administrative Council, and works very closely with other administrators, students, and staff in regard to the overall welfare of students. This individual reports to the President.

2.6.1 DEAN OF JUDICIAL AFFAIRS AND HOUSING

The Dean of Judicial Affairs and Housing is responsible for all judicial and housing matters. The purpose of the department is to administer the University's student judicial affairs program/policies and procedures. The Dean is responsible for administering the student code of conduct system, assisting students with understanding their rights and responsibilities, and serves

as a liaison between faculty, staff, and university members in response to conduct matters. The Dean will chair the Administrative Hearing Committee for student disciplinary hearings and administer discipline and behavioral interventions with an emphasis on assisting students as they adjust or become acclimated with acceptable standards for student conduct and university interaction.

The Dean is a member of the Student Development Leadership Team (SDLT), serves on committees, supervises and provides team leadership for special projects, and assists with university-wide activities, such as registration, formal academic occasions, and other tasks as directed by the Vice President for Administrative Services.

2.6.2 DEAN OF RESIDENCE LIFE

The Dean of Residence Life is responsible for all educational programming and coordinates all administrative operations of residence life. The purpose of the department is to provide support services such as counseling, guidance, residential programming, training in social and cultural values, and to ensure student safety and well-being, and enhance student persistence and success. Through the collaboration with multiple departments, the Dean, along with the residential team, will provide a supportive and safe living-learning environment within the residence halls by creating and maintaining a positive community that is conducive to student success and supports the mission of the university.

The Dean is a member of the Student Development Leadership Team (SDLT), serves on committees, supervises and provides team leadership for special projects, and assists with university-wide activities, such as registration, formal academic occasions, conference utilization of residential facilities and other tasks as directed by the Vice President for Administrative Services.

2.6.3 DIRECTOR OF STUDENT ACTIVITIES AND THE STUDENT CENTER

The Director of Student Activities and the Student Center coordinates the co-curricular activities for students by providing information about joining campus and student organizations, coordinating the Student Leadership Program, preparing and issuing the master and weekly calendars of events, assisting students with scheduling events, securing facilities, and following University procedures for maintaining an effective program of student activities. The Director reports to the Vice President for Administrative Services.

2.6.4 DIRECTOR OF FRESHMAN STUDIES

The Director of Freshman Studies coordinates the following programs and activities relative to all freshman students: orientation, academic, social, and personal counseling, academic advisement, and University 101. The Director reports to the Vice President for Administrative Services.

2.6.5 DIRECTOR OF THE STUDENT COUNSELING CENTER

The Director of the Student Counseling Center is responsible for the overall administration and coordination of the activities and resources of the Center and its employees. The Director develops and implements philosophy, policies and procedures of operations of the Student Counseling Center. Center activities include the planning and implementation of individual and group academic and mental health counseling services; outreach, consultation, preventive mental health and referral services; and oversight of the Peer Counselor Organization. The Director reports to the Vice President for Administrative Services.

2.6.6 DIRECTOR OF THE STUDENT SUCCESS CENTER

The Director of the Student Success Center is responsible for coordinating the University's academic support services that will aid students in successfully completing a postsecondary education. The Center services all students including new students, undergraduate transfer students, students on academic probation, undecided/undeclared students, and off-campus students. The Student Success Center meets its objectives by implementing strategies such as Programming, Individual Academic Counseling/Coaching, Student Success Seminars, and the Student Success Center Tutorial Program.

The Director serves as the Chairperson for Undecided/Undeclared upper-class majors and administrator for services to students on academic probation and to incoming transfer students.

The Director reports to the Vice President for Administrative Services.

2.6.7 DIRECTOR OF TESTING SERVICES AND OFFICE OF COMPLIANCE AND DISABILITY SERVICES

The Director of Testing Services is responsible for coordinating the University's testing program. Hampton University serves as a regional test center that strives to meet the testing needs of both the University and the Peninsula/Tidewater area communities. The office administers both accommodated, national, and CLEP tests.

The Office of Compliance and Disability Services is committed to a policy of ensuring that no otherwise qualified individual with a disability is excluded from participation in, denied the benefits of, or subjected to discrimination in University programs or activities due to his or her disability. The University is fully committed to complying with all requirements of the Americans with Disabilities Act of 1990 (ADA) and Section 504 of the Rehabilitation Act of 1973 (Section 504) and providing accommodations to ensure equal educational and workplace opportunities to

otherwise qualified students and employees with disabilities. The Director reports to the Vice President for Administrative Services.

2.6.8 DIRECTOR OF THE HEALTH CENTER

The Director of the Health Center is the University Physician. The Director coordinates activities related to the prevention, promotion, and maintenance of general health and wellness of students. The Director reports to the Vice President for Administrative Services.

2.6.9 DIRECTOR OF CAREER COUNSELING AND PLANNING CENTER

The Director of the Career Counseling and Planning Center is responsible for providing information and scheduling services regarding employment and other opportunities in business, industry, hospitals, public school systems, graduate schools and federal, state, and local government. The Director also oversees the Cooperative Education and Internship Programs.

The office schedules numerous employer and graduate school representatives to interview students. The Career Counseling and Planning Center also manages the Office of Employer Relations. This office is responsible for developing relationships with new employers and vetting them to recruit at the University, posting job announcements, and assisting the students and alumni with their resumes, cover letters and career counseling. The Director reports to the Vice President for Administrative Services.

2.6.10 DIRECTOR OF INTRAMURAL SPORTS PROGRAM

The Intramural Sports Program Director provides activities designed to fulfill the fitness and recreational needs of Hampton University students, faculty, and staff. The program offers a wide variety of sports that include: Aerobics, Billiards, Men's and Women's Basketball, Bowling, Dodge Ball, Flag Football, Powder Puff Football, Men's Soccer Club, Spades (card game),

Volleyball, Women's Lacrosse Club, Open Gym, and various sports videogame tournaments. The Director reports to the Vice President for Administrative Services.

2.7 SENIOR VICE PRESIDENT

The Senior Vice President has responsibility for oversight, guidance, administrative and planning support for Athletics, Financial Aid and Scholarships, Registrar, Admissions, Information Technology, Media Productions, Governmental Relations, and the Computer Center. The Senior Vice President reports directly to the President and assumes other duties as necessary.

2.7.1 DEAN OF ADMISSION

The Dean of Admission is administratively responsible for the implementation of all student admissions and recruitment policies formulated and adopted by the University. This individual reports to the Senior Vice President.

2.7.2 UNIVERSITY REGISTRAR

The University Registrar is administratively responsible for student registration and records, and for the implementation of policies, regulations and standards related to student progress through the University as they affect the maintenance and interpretation of student records. This individual reports to the Senior Vice President.

2.7.3 DIRECTOR OF FINANCIAL AID

The Director of Financial Aid is primarily responsible for the allocation of the University's financial aid resources in a manner which provides maximum benefit to those students who require financial aid. This individual reports to the Senior Vice President.

2.7.4 DIRECTOR OF ATHLETICS

The Director of Athletics is in charge of the intercollegiate sports program of the University. This individual reports to the Senior Vice President.

PART III

THE FACULTY

3.0 THE FACULTY

The Faculty consists of the President, Executive Vice President and Provost, Full Professors, Associate Professors, Assistant Professors, Instructors, and Lecturers. The President, at his or her discretion, may designate other professionals as Faculty.

3.1 DEFINITION OF FACULTY

The term “Faculty” refers to individuals with professional rank, professional librarians, directors of units and other administrators with faculty rank, and to other professionally qualified persons to whom the President, at his or her discretion, assigns faculty status. All full-time professionally qualified persons with faculty status are eligible to serve on standing committees of the faculty and to vote on academic matters. All instructional faculty must possess the earned terminal degrees in their respective disciplines. Directors and administrative faculty may or may not possess the doctoral degree.

3.2 SPECIAL CATEGORIES

Professionally qualified persons in academic support units such as Freshman Studies, University Museum, Research Centers, and Student Personnel areas shall be eligible for appropriate benefits designated for faculty and shall be governed by appropriate policies in this Handbook. These individuals may serve on selected committees.

Adjunct faculty, part-time faculty and persons on special projects and restrictive contracts, unless granted faculty status, may not serve on standing committees of the faculty nor vote on faculty matters.

3.3 TERMINAL DEGREES

The terminal degree for faculty in all academic areas shall be an earned doctoral degree in his/her respective field/discipline from an institution accredited by the Council on Post-secondary Education.

3.4 EXEMPTION FROM DOCTORAL DEGREE

Exemption from the earned doctoral degree applies only in those disciplines where the accrediting agency, in its written literature, specifies a degree other than the doctoral degree as the appropriate terminal degree.

3.5 APPOINTMENT OF FULL-TIME FACULTY

Each department and academic area is allocated a number of teaching slots on the basis of enrollment and specialty needs of the area. All positions are authorized by the President. When a vacancy occurs or a new position is authorized, the chairperson and the School Dean shall seek to fill the position.

The position, if advertised, may be sent to national professional publications, local, state and national professional associations; and universities which offer graduate degrees in the disciplines in which there is a vacancy. Invited candidates may be interviewed by the Department Chairperson, departmental faculty members, the School Dean, and the Assistant Provost for Academic Affairs, and other appropriate individuals. Following this interview process, the final candidate is recommended by the Chairperson through the Dean to the Executive Vice President and Provost for employment. If approved, the President offers the candidate a contract.

The President is the only person authorized to offer and issue a contract. Potential faculty are not legally hired until the contract has been signed and returned to the Office of the President.

3.6 CLASSIFICATION OF APPOINTMENTS

Instructional positions at the University fall into the following categories identified on the contract: Individuals who are neither tenured nor in a tenure-track position are classified as temporary annual (TA) appointees. Those who are in a tenure-track position but have not yet been granted tenure are classified as probationary appointees, and the contract states “probationary tenure track” (PTT). Individuals with tenure are in permanent positions as long as there is satisfactory performance and as long as the program for which the position is tenured is still in existence at the University; thus, the contract states “tenured” (T).

3.7 PROBATIONARY APPOINTMENTS

(Tenure Track)

All tenure-track appointments are probationary. Individuals in this category may be reappointed annually during the six-year probationary period (Refer to 6.1 for additional information).

3.8 TEMPORARY APPOINTMENTS

Temporary appointments are those made for a period of one year or less. Faculty with temporary appointments (TA) may be recommended for a probationary tenure track (PTT) position, if available. Such appointments may be renewed on an annual basis, subject to assessment of performance at the above average to excellent rating. This individual does not accrue time toward tenure. However, such appointees are expected to adhere to the same rules and responsibilities noted in this Handbook for regular appointees.

3.9 DUTIES OF INSTRUCTIONAL FACULTY

Faculty members at Hampton University have the following duties and responsibilities:

- Teach effectively within their disciplines;
- Provide students with current course syllabi for each assigned course, in keeping with the policies and procedures of the University;
- Prepare adequate instructional methods, materials and equipment in advance of class meetings;
- Meet all assigned classes;
- Participate in and advocate adherence to the Hampton University Code of Conduct once each semester in each of the classes that they teach;
- Develop well-defined procedures for evaluating student progress;
- Maintain a current curriculum vita on file in the office of the Department Chairperson, School Dean, Area Director and Office of the Executive Vice President and Provost;
- Work with Chairpersons and other administrators in projecting the growth and development of the department;
- Fulfill all contractual obligations such as attending faculty meetings, Convocation, Commencement, Founder's Day, and Parents Weekend activities;
- Post and keep a minimum of 30 hours per week in class, on-campus, and/or at other off-campus official educational activities;
- Provide academic advisement and professional support to students;
- Support university-sponsored programs, lecture series, cultural arts programs, seminars, and other university functions;

- Submit grades, records, and other reports on or before the date and time they are required;
- Serve on department, school and university committees;
- Monitor his or her official registration class list(s) and actual student attendance and report discrepancies to his or her Chairperson;
- Engage in scholarship and research appropriate to his/her field/discipline.

3.10 FACULTY EVALUATION

All faculty will be evaluated each semester by students and annually by their respective Chairperson, Dean and the Executive Vice President and Provost. (Forms are located in Appendices A & B respectively in this Handbook.)

3.10.1 ANNUAL EVALUATION AND SALARY ADJUSTMENTS

An evaluation of every faculty member's professional performance is held each year. All persons holding Temporary Annual, Probationary Tenure Track, and Tenured faculty appointments shall complete the following forms for review by the Department Chairperson at the end of each calendar year, citing their instructional activities, creative scholarship, and other professional activities and recognitions during the year: Faculty Profile, Faculty Performance Contract, Faculty Evaluation Form, and the Course/Instructor Evaluation Form (see Appendix B). In addition, the Department Chairperson reviews the observation of teaching performance (see Appendix C for the Classroom Observation Form). These completed forms are reviewed with the faculty member by the Department Chairperson or area Director and the Dean. These annual reports become part of the basis for salary adjustments and may become part of the dossiers for promotion and tenure evaluation by faculty committees.

Salary adjustments are based on merit; they are not automatic. Recommendations for salary adjustments originate with the Department Chairperson or area Director and are reviewed by the Dean, the Executive Vice President and Provost, and the President. Salary adjustments are determined administratively on an annual basis. These adjustments are based on the quality of the faculty member's performance in response to assigned responsibilities. They do not necessarily reflect a complete measure of the full scope of the faculty member's professional development as evaluated by relevant committees in the tenure and promotion processes. The salary adjustments of continuing faculty members are approved by the Board of Trustees and each faculty member is informed for the Board's action by the end of the Spring Semester.

Chairs and Directors shall be evaluated by the Dean and faculty of each department (see Appendices G and F respectively, for copies of forms for the Faculty Evaluation of Chairperson/Directors and Dean's Evaluation of Chairperson/Directors). Deans shall be evaluated annually by Department Chairpersons and by the faculty of each department (see Appendices H and J respectively, for copies of forms for Chairperson's Evaluation of Deans/Directors and Faculty Evaluation of Deans/Directors). The results are included as part of the salary adjustments.

A. Criteria for Ratings:

1. Achievement in scholarship is recognized by a record of original, substantive, and influential research, either theoretical or empirical and production of scholarly/creative works cited or published in refereed journals; critiques of review of scholarly/creative works; and publications of scholarly/creative works in recognized professional organizations in the discipline.
2. Achievement in service is awarded to faculty who have a sustained record of service to the department, college, university or professional organizations and/or civic organizations.

3. Achievement in teaching is recognized by a record of substantial, superior, and consistent recognition of faculty performance ratings.

B. Ratings:

1. SUPERIOR PERFORMANCE/MERIT/EQUITY
(Exceeds Full Standards)

Individuals receiving an increment on the basis of superior performance or merit must have **demonstrated clearly superior performance** in the broad categories of teaching, research, scholarly/creative activities, grantsmanship, and service to students, department, university, and the professional community during the current academic year. **Some funded research, funded grantsmanship or innovative teaching activities are a requisite for awarding a salary increment in this category.**

Such persons must have demonstrated exemplary service on university committees, University-sponsored development activities, and significant service to students. Contributions in such activities must be clearly visible to all reference groups and the profession. In addition, these faculty members must have maintained a level of sustained accomplishment in teaching, research, scholarship or creative work, public service and have demonstrated national and international recognition among leaders in the field.

2. OUTSTANDING PERFORMANCE
(Meets Full Standards)

Individuals receiving an increment on the basis of outstanding performance must have demonstrated clearly above-average performance in a combination of categories, including teaching, research, scholarly/creative activities, grantsmanship, and service to students, department, university, and professional community. Such persons must have **demonstrated exceptional achievement, exceptional reputation and/or exceptional**

service to the university. Contributions in such activities must be clearly visible to all reference groups such as colleagues, students, administrators, and the professional community.

3. HIGH-AVERAGE PERFORMANCE
(Meets Average Standards)

Individuals in this category have satisfactorily fulfilled the duties and responsibilities expected of faculty members in the areas of teaching, research, scholarly/creative activities, grantsmanship, and service to students, department, school, and the professional community. Such persons should demonstrate exceptional distinction in some categories while clearly moving at a more-than-average pace in others. Such persons may be moving continuously toward the Outstanding category.

4. LOW PERFORMANCE
(Meets Less than Average Standards)

Individuals in this category are not meeting the expectations of the department in teaching, research, grantsmanship, professional development and scholarly/creative activities. Persons in this category are not actively involved in exemplary service on University-sponsored developmental activities and service to students. Their contributions are not visible to the University, or to local and professional communities. Persons in this category should be given guidance for improvement.

One rating of “Low Performance” for a faculty member with tenure will result in a Post-Tenure review. Faculty members who must undergo the Post-Tenure Review Process may seek redress through the grievance procedures after the process is completed by writing a letter to the department chair for inclusion in their personnel file.

5. PROBATION (Meets Less than Minimum Standards)

Individuals in this category are not meeting the expectations of the department or making contributions in teaching, service, research, grantsmanship, professional development, and scholarly/creative activities. Persons in this category are not involved in exemplary service on university-sponsored development activities and service to students. There are serious weaknesses in terms of minimal professional expectations. Such persons should be placed on probation and observed throughout the academic year. These individuals will not be offered an additional contract if their performance continues in this category.

One rating of “Probation” performance for a faculty member with tenure will result in a Post-Tenure review. Faculty members who must undergo the Post-Tenure Review Process may seek redress through the grievance procedures after the process is completed by writing a letter to the department chair for inclusion in their personnel file.

In all categories, weight is to be given to teaching excellence and innovation, research/scholarly activities and proposal writing. Should the University increase or reduce the level of the raises given for a particular year, the ratings for Post-Tenure Review will be adjusted accordingly.

3.10.2 POST-TENURE REVIEW POLICY

The Post-Tenure Review Process was initiated in the 1996-1997 academic year to further strengthen and buttress the University’s Strategic Plan, Hampton 2000. A comprehensive review and restructuring of Hampton’s organizational structure, academic programs, cultural environment, and faculty and student evaluative processes, occurred as Hampton 2000 became the academic blueprint for the University.

An essential theme of Hampton 2000 is the emphasis on high quality innovative teaching and the mentoring of students to enhance learning. In this context, the Hampton faculty is committed to the highest standards of rigorous scholarship, creative expression, and all forms of knowledge dissemination. To facilitate its move into the twenty-first century, the University reviewed its process of tenure and promotion to enhance its partnership with the faculty.

As a consequence of the review, a Post-Tenure Review Process was established which became operative during the 1998-99 academic year. The promotion and tenure processes remain sound and effective for faculty participation in meeting the goals of achieving the highest standards of teaching that facilitate learning, research and professional activities.

Purpose

The long-term viability of an academic institution can be ensured only if mechanisms of accountability are in place for its faculty and administrators. While annual evaluations and progression toward achieving tenure can serve as effective measures of accountability for untenured faculty, other equally effective measures must be in place for review of tenured faculty. Post-Tenure review is one mechanism of ensuring accountability and continued faculty renewal.

A review of the literature reveals a number of Post-Tenure Review options. Of these, the summative Triggered/Consequential approach has been adopted by many institutions that have implemented a Post-Tenure Review Process. The Summative Triggered/Consequential approach is an evaluation procedure that is triggered by unsatisfactory performance (low performance and below) as documented by other periodic evaluations. This approach focuses only on substandard performers, yet allows them the opportunity to develop and implement improvement measures.

Consequently, Hampton University has selected the Triggered/Consequential option, believing that its features provide the best process for ensuring a viable faculty.

Post-Tenure Review Process

The Post-Tenure Review Process will be triggered when a tenured faculty member receives a rating of “Low Performance” or less on one annual evaluation. The faculty member will be informed in writing by March 15 of all deficiencies on which the rating is based. This communication serves as official notification that the Post-Tenure Review Process has been initiated. A letter shall be sent by the academic Chairperson to the faculty member, and copies are forwarded to the Dean and the Executive Vice President and Provost.

The review will be conducted by a sub-committee of senior, tenured faculty of the University Academic Personnel Committee (*Post-Tenure Review Committee*). The Post-Tenure Review Committee will be chaired by the Assistant Provost for Academic Affairs who has complete oversight and responsibility for the Post-Tenure Review Process.

Procedure and Criteria/Standards for Post-Tenure Review

When a tenured faculty member receives a rating of “Low Performance,” or less on one annual evaluation, he or she is notified in writing by **March 15** of all deficiencies which led to the evaluation. This notification indicates that the Post-Tenure Review Process has been triggered.

1. The faculty member shall submit a dossier with documents, materials and statements he or she believes relevant and necessary for review. The faculty member shall choose one area of distinction among teaching, research/scholarly/creative activity, or service and demonstrate average or above average performance in the other two areas. The dossier, at minimum, should include a curriculum vita, two Faculty Profile Sheets, and a description of activities and accomplishments since the most recent report, course/instructor evaluations for the previous three years, Faculty Performance Contract, the Classroom Observation Forms, and two outside references. The faculty member will be given thirty

days from receipt of the notification to submit the dossier to the Assistant Provost for Academic Affairs for review by the Post-Tenure Review Committee.

2. The Post-Tenure Review Committee will review the dossier and weigh the faculty member's contributions to the discipline, department and University through teaching, research/scholarly/creative activity, and service. After reviewing the dossier, if the Post Tenure Review Committee determines that the "Low Performance" or less rating is not justified, it will recommend to the Executive Vice President and Provost that the Post-Tenure Review Process be terminated. An explanation for its recommendation will be submitted to the department chair and Dean. If the recommendation is accepted by the Executive Vice President and Provost, the faculty member will receive a letter stating that the Post-Tenure Review Process has been terminated without prejudice to him or her. If the recommendation is rejected by the Executive Vice President and Provost, he/she will send a letter to the faculty member, with copies to the department chair and Dean, stating that he/she concurs with the rating.
3. If the Committee determines that the "Low Performance" or less rating is justified, it will send a letter to the faculty member, through the Executive Vice President and Provost, with copies to the department chair and Dean, stating that it concurs with the rating. The faculty member, in collaboration with the department chair and Dean, must develop a one-year Performance Improvement Plan. The Plan will be submitted through the Dean to the Post-Tenure Review Committee for approval. If the recommendations of the Post-Tenure Review Committee are rejected by the Executive Vice President and Provost, the faculty member will be notified in writing of the Post-Tenure Review decision.

4. The approved Plan will be returned to the faculty member before the end of the current contract period.
5. During the next academic year, the department Chair and Dean are responsible for monitoring the faculty member as he or she seeks to meet the stipulations of the Approved Performance Improvement Plan.
6. At the end of the academic year in which the faculty member is implementing the Performance Improvement Plan, a final report will be prepared by the department chair who, along with the Dean, will review the faculty member's progress. This report will be submitted to the Post-Tenure Review Committee for evaluation and recommendation of further action. Considering the report, the Committee may recommend to the Executive Vice President and Provost that:
 - a. the faculty member, having successfully addressed the deficiencies which triggered the review, has completed the Post-Tenure Review Process.
 - b. the faculty member continues with the Plan. The Committee thereby will extend the plan for one additional academic year. The faculty member must submit an extended plan which is to specify activities, benchmarks and timelines.
 - c. dismissal procedures be immediately initiated in accordance with established University policies and procedures.
7. If a second year of the Performance Improvement Plan is granted, the faculty member's progress will be subject to the same monitoring as the first year. At the end of the second year, the faculty member's progress will be re-evaluated by the Post-Tenure Review Committee who, with input from the Department Chair, will prepare a final report. The Committee may recommend to the Executive Vice President and Provost:

- a. that the faculty member, having successfully addressed the deficiencies which triggered the review, has successfully completed the Post-Tenure Review Process.
- b. the immediate initiation of dismissal procedures in accordance with established University policies and procedures. The Executive Vice President and Provost will review and advise the faculty member of the final decision.

Criteria/Standards for Post-Tenure Review Evaluation

A. The Dossier

Faculty members who must undergo the Post-Tenure Review Process must prepare a dossier of supporting documents, materials, and statements relevant to the review and will be evaluated according to the following criteria:

Teaching:

Teaching is essential to the mission of Hampton University. Therefore, in order for faculty members to continue their tenured status, they must document the quality of their teaching in the following areas. Examples of appropriate documentation are the following:

Teaching Effectiveness

Summaries of course and instructional evaluation

Peer reviews

Department Chairperson's evaluation

Awards, honors, and commendations for excellence in teaching

Teaching Productivity

Publications in teaching specialty

Instructional modules, media packages, etc.

Individual research and funded grants in teaching area

Teaching Innovation

New curriculum approaches

Non-conventional instructional strategies

Non-traditional learning experiences

Research/Scholarly/Creative Activity:

Faculty members are expected to bring distinction to themselves, their students and the University by developing a professional balance between teaching and scholarly productivity. To continue in a tenured status, faculty members must document the quality of their scholarly activity. The following are examples of appropriate documentation:

Research

Documentation of various types of research published in refereed journals

Documentation of reviews of research activities by colleagues in the profession

Documentation of funds secured through funding agencies to conduct research

Scholarly Activity and Funded Projects

Identification of publication of articles, monographs, etc.

Identification of reviews and publication of professional articles in national and/or local refereed journals

Identification of published book reviews

Identification of funded grants received through individual initiative

Leadership in professional organizations, conferences, and workshops at local, state and national levels

Creative Activities

Identification of creative works cited or published in refereed journals

Critique of review of creative works

Publications of creative works in recognized professional organs in the discipline

Service:

To continue in a tenured status, faculty members must document the quality of their professional service. Such documentation should reveal the impact of their service on students, the University, and the broader academic community. The following are examples of appropriate documentation:

University Service

Identification of distinctive contributions to the Department, School, and University

Letters of recognition and program reviews relative to work at the University

Identification of distinctive contributions on-campus committees

Identification of distinctive contributions to student and student activities

Local/State Service

Evidence of distinctive service at local and state levels

Recognition through leadership roles in professional organizations at local and state levels

Letters of special recognition and awards for professional service

Official commendations

National and International Service

Evidence of distinctive service at national and international levels

Recognition through leadership roles in professional organizations at the national and international levels

Department and School Service

Evidence of commitment to departmental, school, and college goals

Evidence of positive attitudes toward student growth and development

Evidence of positive attitudes towards colleagues, staff, and administrators

Evidence of stewardship in the use of personal, financial, and physical resources granted by the college

Results of the Post-Tenure review evaluation will be communicated in writing to the faculty member by the Executive Vice President and Provost, with copies forwarded to the Department Chairperson and Dean. If indicated, the faculty member must subsequently develop the Performance Improvement Plan.

B. The Performance Improvement Plan

The objective of the Performance Improvement Plan is to enable the faculty members to resume their place as fully contributing members of the academic community. While faculty members are to work in collaboration with their Department Chairpersons and Deans, faculty members must take responsibility for developing and implementing their plans. The Performance Improvement Plan must:

- state goals as well as outcomes to achieve in the areas of teaching, research, grantsmanship, and service;
- outline activities to be undertaken to achieve goals;
- include a timetable with benchmarks;
- identify appropriate resources for faculty development; and

- address monitoring responsibilities and procedures.

The Performance Improvement Plan will be submitted through the Dean to the Post-Tenure Review committee for approval.

Outcomes:

The purpose of the Post-Tenure Review Process is to ensure that all faculty members remain viable to the University and its mission. The post-tenure review process, therefore, leads to one of two alternatives:

1. The faculty member resumes his/her place as a fully contributing member of the academic community
2. The faculty member loses his/her tenure rights.

Consequences:

If the faculty member does not comply with the Performance Improvement Plan and/or does not demonstrate sustained above- satisfactory performance as evaluated by the Post-Tenure Review Committee, the Executive Vice President and Provost will recommend the following:

- that dismissal procedures be initiated immediately in accordance with established University policies and procedures.

The Appeal Process

After the faculty member has been notified of the decision recommended by the Executive Vice President and Provost to the President, he or she may appeal the decision using the grievance procedures outlined in the *Faculty Handbook*. The appeal must be submitted in writing within fifteen days of notification by letter from the Office of the Executive Vice President and Provost.

3.11 NOTIFICATION OF NON-REAPPOINTMENT

(Probationary Tenure-Track/Temporary Annual Positions)

During the probationary tenure-track and temporary annual period, if the individual is not to be reappointed, he/she shall be notified as soon as possible, but not later than March 1 prior to the expiration of his/her current contract. Additionally, in the event of enrollment decline in a teaching area or department, the institution may exercise administration prerogative and choose not to offer a contract to non-tenured personnel.

3.12 PROFESSIONAL WARNING

Persons who are making only a minimal contribution in teaching, research, service or professional development and exhibit serious weaknesses in terms of fulfilling minimal professional expectations will receive a letter of professional warning from the Chairperson or immediate supervisor with a copy to the School Dean and Executive Vice President and Provost. Such persons shall be placed on probation for a period not exceeding two years and shall be assisted and observed by Department Chairpersons and Deans throughout the warning period. Written critiques of the individual's performance shall be conducted during the warning period. If these problems persist, such individuals will not be given an additional contract when the current contract expires.

3.13 SUSPENSION

Faculty and instructional staff members, with or without tenure, may be suspended from University employment by the Executive Vice President and Provost as a disciplinary sanction. A suspension is a temporary involuntary removal from active employment, with or without pay, as the result of, or pending investigation of, a serious violation of University policy. Reinstatement of employment following a suspension may occur if and when the faculty member can demonstrate

that the cause of the suspension has been addressed and the behavior leading to the suspension is not likely to be continued. A faculty member may grieve the Executive Vice President and Provost's decision to suspend through the Faculty Grievance Procedure. A suspended faculty member may be terminated from University employment if "Cause," as defined in Policy 3.14, "p", exists.

In addition, faculty and instructional staff members, with or without tenure, may be placed immediately on suspension when a faculty member has been notified of the University's intention to discharge the faculty member. In such a case, the faculty member will be suspended with pay until a final decision concerning discharge has been reached according to the procedures set forth in Policy 3.14, Dismissal for Cause.

3.14 DISMISSAL FOR CAUSE

Faculty and instructional staff members, with or without tenure, may be dismissed by the Executive Vice President and Provost for cause, subject to the right of review and appeal herein provided. Cause includes, but is not limited to, one or more of the following: moral turpitude (which includes plagiarism, lying, cheating or stealing); insubordination; incompetent or ineffective service; neglect of duty; repeated and willful disregard of the requirement of academic freedom; physical or mental incapacity; that makes the individual unable to perform the duties of the job position with or without a reasonable accommodation; commission of a crime; misuse of University funds, violation of University policy substantially related to performance of faculty responsibilities; conduct unbecoming a member of the University community, such as, but not limited to, illegal use of a controlled substance, conducting University business under the influence of alcohol and/or a controlled substance, falsification of documents, destruction of property, inciting others to destroy property, willfully disregarding University policies and

authority, and the issuance of slanderous statements to a third party which causes injury to students, faculty, administration, staff or the University at-large.

The following procedure shall be adhered to for a dismissal for cause: The Executive Vice President and Provost shall meet with the faculty or instructional staff member to discuss the nature of the charge against him or her. If after such meeting, the Executive Vice President and Provost determines based on his or her reasonable judgment that dismissal for cause is warranted, the Executive Vice President and Provost shall notify the individual in writing with a statement of the reasons for such dismissal.

The dismissal for cause shall be effective immediately upon such written notice. The faculty or instructional staff member may submit a written appeal to the President no later than ten (10) calendar days after the date indicated on the letter of dismissal. The written appeal must include: (1) a clear statement of the grounds for appeal; (2) factual background and relevant documentation; (3) the relief or remedy sought. Upon receipt of the written appeal, the President shall: (1) acknowledge receipt within five (5) business days, and (2) conduct a preliminary review to determine whether the appeal shall move forward to a hearing. The President shall dismiss grievances deemed frivolous, with written explanation to the dismissed member. If the appeal is accepted by the President, the appeal shall be forwarded to the Committee on Faculty Dismissal (the "Committee"). The President shall appoint the Committee to conduct the hearing. The Committee shall be composed of five (5) tenured faculty members selected from a list of seven (7) faculty members submitted by the Academic Personnel Committee to the President. Absent exigent circumstances, such hearing should commence within thirty (30) days after the President forwards the appeal to the Committee. If a hearing is granted, the dismissed member consents to

the Committee receiving evidence and hearing witnesses called by the dismissed member, the Committee, or the University.

The Committee shall hold a closed hearing at which the dismissed member may appear and be heard. He/she shall be permitted to have an advisor of his own choosing, the advisor shall be present for consultation purposes only and shall be permitted to speak at the discretion of the Chairperson. He/she may also call witnesses and present evidence. The University shall request any person within its employ to appear on behalf of the University or dismissed member, but the University shall not be required to force the attendance of such requested witnesses. A court reporter shall be provided by the Office of the General Counsel to transcribe the hearing. A transcript of the hearing shall be furnished to the dismissed member without charge.

The Committee shall submit a written report to the President within thirty (30) days after the hearing. In the event that the Committee does not submit a decision within the time allowed, the President shall have the option to extend the time or disband the Committee and appoint a new Committee to hear the case. Majority and minority reports may be submitted. Such reports shall state the recommendation of the Committee to the President, who will make a final decision. The report submitted to the President shall include the reasons for such recommendation and shall be accompanied by the transcript and all other material considered by the Committee.

The President shall notify the Committee and the dismissed member of his decision within ten (10) days after receiving the report from the Committee.

Revised by the Provosts Office, August 2025
Approved by the Board of Trustees, October 2025

3.15 RESIGNATIONS

Generally, accepted standards of professional ethics require faculty members who plan to terminate their services to give notice in writing to their Department Chairperson and other appropriate administrative officers in ample time for the University to seek qualified replacements.

As a courtesy to the University, faculty members are asked to discuss their plans as early as possible. If a decision is made to resign after contracts have been issued for the following year, resignations must be made no later than May 15, or thirty (30) days after receiving the contract, whichever comes later. For reason of health or other personal emergencies, faculty members with official approval may leave the institution during the contract period.

Persons resigning before the termination of the contractual period without the approval of the appropriate administrative officer shall be released with prejudice, and such shall be stated in a letter that is made a part of the individual's permanent personnel record. These individuals will also be indebted to the University for damages which have been stipulated to be such an amount as is equal to one-third of the individual's gross annual salary for the following year.

3.15.1 TERMINATION OF ACADEMIC PROGRAMS

Institutions of higher education may reorganize or terminate programs, courses, departments, and schools because of unforeseeable changes. Reorganization or termination may result from lack of societal need, lack of student demand or interest, decline in enrollment, inadequate funding, lack of leadership or lack of funds during a period of decline in financial resources.

Prior to termination of a program, careful consideration shall be given to (1) the significance of the program in supporting other academic units of the University and (2) the

demand for offerings in the area as indicated by consistent patterns of enrollment and marketplace demand for program graduates.

3.16 RETRENCHMENT

Retrenchment is defined as the reorganization or discontinuation of programs as the result of a change in public need, decline in enrollment, loss of quality, or inadequate funding. When and if retrenchment occurs, individuals may be terminated because of financial exigency. Every effort shall be made by the University to provide assistance to persons who may be terminated. The University shall attempt to accommodate persons as follows:

- Provide the individual with some assistance, limited by the availability of funds, in retraining in an area of institutional need when there is a pattern of decreasing enrollment;
- Provide an opportunity for affected faculty to be reassigned in a suitably-related field;
- Notify tenured faculty one year ahead of the termination date;
- Notify non-tenured faculty by March 1 that no further annual contract shall be offered.

The appropriate administrator shall provide letters of recommendation for individuals who are terminated as a result of program or course termination or retrenchment.

3.17 INSTRUCTOR ABSENCE

Members of the instructional staff must notify the Department Chairperson and School Dean when they are unable to meet their classes. Instructional staff must submit the completed Short Leave form to the appropriate offices in advance in order to receive approval for absences when they are unable to meet their classes. An instructor, who for any cause is unable to meet his/her classes, must make arrangements for a substitute to carry on the work. If no such

arrangements have been made, the students may assume, after the first ten (10) minutes of the class period that the class will not be held.

3.18 SEXUAL DISCRIMINATION AND MISCONDUCT POLICY

The Hampton University Policy on Sexual Discrimination and Misconduct is designed to ensure an environment that is safe and free from sexual discrimination, harassment or misconduct for the members of the Hampton University community.

Sexual harassment is a form of sexual discrimination and includes sexual misconduct and/or sexual violence. The University is committed to maintaining an environment that is free from sex-based violence and in which the freedom to make individual choices regarding sexual behavior is respected by all.

Sexual discrimination, harassment or misconduct is unacceptable and will be addressed in a prompt, equitable fashion in accordance with this policy and the applicable procedures. Additionally, the University prohibits retaliation against anyone who exercises his or her rights in accordance with this policy.

The prohibitions contained in this policy apply to students, faculty, staff, visitors, contractors and vendors, and to conduct that takes place on- or off-campus.

This policy is designed to help Hampton University comply with the following:

- **Title IX of the Education Amendments of 1972, which prohibits discrimination on the basis of sex in education programs or activities,**
- **the Violence Against Women and Department of Justice Reauthorization Act of 2005,**
- **the Higher Education Act of 1965, and**
- **the Clery Act, each as amended.**

For definitions and additional information concerning the University's Policy on Sexual Discrimination and Misconduct, see the Policy and Procedures on Sexual Discrimination and Misconduct located at www.hamptonu.edu/compliance/title9.

Filing a Complaint of Sexual Discrimination and/or Misconduct

The procedures found at www.hamptonu.edu/compliance/title9 govern filing a complaint, and are set forth below. If an inconsistency is found between these procedures and those on the website, those on the website will govern. To file a complaint of sexual discrimination, harassment and/or misconduct, an employee should contact the Office of the Title IX Coordinator. Once an incident is reported, the Title IX Coordinator will provide information concerning the University's policies and services for victims of sexual discrimination, harassment and/or misconduct, its procedures for determining, investigating, and handling of such complaints, including the procedures for proceeding with a formal complaint and investigation.

A formal investigation will include an interview with the complainant, the respondent and other possible witnesses. The Title IX Coordinator will also gather other related information or documents. The formal investigation shall be completed within thirty (30) calendar days of a report being filed. At the conclusion of the formal investigation, the Title IX Coordinator will refer the case and all investigation findings to the Sexual Discrimination and Misconduct Committee. The matter will then be handled in accordance with Hampton University's Sexual Discrimination and Misconduct hearing process as set forth below. The investigation and adjudication before the Sexual Discrimination and Misconduct Committee, including notification of the outcome, will be completed within sixty (60) calendar days of a report being filed, unless the Title IX Coordinator determines that sufficient extenuating circumstances exist as to

necessitate an extension of time. If an extension of time is required, the Title IX Coordinator will notify both the complainant and respondent in writing.

Proceedings Before the Sexual Discrimination and Misconduct Committee

Hearing Determination

The Sexual Discrimination and Misconduct Committee is responsible for deciding whether to adjudicate complaints that allege violations of Title IX and its regulations.

If a complaint falls under Title IX, as determined by an investigation by the Title IX Coordinator, the formal report is then handed over to the Sexual Discrimination and Misconduct Committee for review as follows:

1. **Within thirty (30) days of receipt of the findings from the Title IX Coordinator's investigation, the Sexual Discrimination and Misconduct Committee ("Committee")** will convene to review documentation, meet with all parties, and conduct a hearing.
2. The standard of review will be based on the preponderance of the evidence, which means it is more likely than not that sexual discrimination, harassment, or misconduct occurred. The preponderance of the evidence does not require proof beyond a reasonable doubt.
3. Each party will be provided the opportunity to submit any and all information in support of their respective positions, including documentary evidence and witnesses.
4. Evidence regarding a complainant's sexual history unrelated to the respondent will not be permitted.

5. Each party will also be provided with the option to have others present, including an advisor of their choice, during the hearing process.

Post-Hearing Procedures

Within ten (10) days of convening, the Committee will render its final determination based on the preponderance of the evidence presented to it and will forward its decision in writing to the appropriate administrator: the Vice President for Administrative Services for students; the Executive Vice President and Provost for a Faculty member; or the Vice President for Business Affairs and Treasurer for a Staff member. The appropriate administrator will then forward the final decision including any determination as to disciplinary action to the party under their respective jurisdictions.

This written decision shall be received by all parties within sixty (60) calendar days of a report being filed, unless, the Title IX Coordinator has granted an extension and informed all parties in writing of such extension.

The decision of the Sexual Discrimination and Misconduct Committee is final.

Retaliation

The University strictly prohibits retaliation against anyone exercising their rights and privileges under Title IX. More specifically, the University prohibits retaliation against any person who files a complaint of sexual harassment, misconduct, and/or discrimination, participates in an investigation or hearing, or opposes a discriminatory employment or education practice or policy prohibited by this policy, specifically Title IX.

The University also prohibits intimidation, threats, coercion or discrimination against individuals who exercise rights and privileges accommodated under Title IX. An individual who believes he or she was subjected to retaliation can file a complaint under these procedures.

3.19 UNIVERSITY FACULTY/STUDENT CONSENSUAL AMOROUS RELATIONS POLICY

Consenting romantic and sexual relationships between Hampton University faculty and students are prohibited when both parties are involved in an instructional or supervisory context, meaning specifically, a student who is enrolled in a course taught by the particular faculty member or whose academic performance and/or extracurricular activities are being supervised or evaluated by the particular faculty member. Violations of this policy should be reported to the Title IX Coordinator in accordance with the procedures for filing a complaint of sexual discrimination or misconduct set forth in Section 1.3.1.

3.20 POLICY ON FACULTY GRIEVANCE

Hampton University encourages faculty members to informally resolve issues related to their employment through discussions with their respective chair, dean, or other appropriate administrator. However, if an informal resolution does not occur, faculty members have the right to present a written grievance to the Executive Vice President and Provost (or to the President if the grievance involves the Executive Vice President and Provost) as set forth in this policy.

1. If the aggrieved party has attempted to resolve the issue informally and has exhausted the appropriate channels of their respective chair, dean, or other appropriate administrator, and the grievance relates to tenure, promotion, termination, non-reappointment, academic rights and freedom, or the annual review process, the aggrieved party may submit a written grievance to the Executive Vice President and Provost. The written grievance must include: (1) a clear statement of grievance; (2) factual background and relevant documentation; (3) the specific policy or right allegedly violated; and (4) the relief or remedy sought.
2. Upon receipt of the grievance, the Executive Vice President and Provost shall: (1) acknowledge receipt within 5 business days, and (2) conduct a preliminary review to

determine whether the grievance falls within the scope of this policy. The Executive Vice President and Provost shall dismiss grievances deemed frivolous or outside the policy's scope, with written explanation to the aggrieved party.

3. If the grievance is accepted by the Executive Vice President and Provost, the grievance shall be forwarded to the Faculty Grievance Committee (the "Committee"). Absent exigent circumstances, the hearing shall commence within 30 days after the Executive Vice President and Provost forwards the written grievance to the Committee.
4. The Executive Vice President and Provost shall appoint the Committee to conduct the hearing. The Committee shall be composed of seven (7) faculty from a list of thirteen (13) elected faculty. Each School shall elect one (1) member to serve on the committee and five (5) faculty shall be elected at-large by the faculty. For the initial committee, four (4) faculty elected from the Schools shall serve a three (3) year term and four (4) faculty elected by the Schools shall serve a two (2) year term. At-large faculty will serve a three (3) year term. After the initial formation, all members shall be elected to three (3) year terms.
5. If a hearing is granted, the aggrieved party consents to the Committee receiving evidence and hearing witnesses called by the aggrieved party, the Committee, or the University.
6. The Committee shall hold a closed hearing at which the aggrieved party may appear and be heard. He/she shall be permitted to bring an advisor on his/her behalf to the hearing. The advisor shall be present for consultation purposes only and shall be permitted to speak at the discretion of the Chairperson. The aggrieved party may call witnesses and present evidence. The University shall request any person within its employ to appear on behalf of the University or aggrieved party, but the University shall not be required to force the attendance

or such requested witnesses. The hearing will be recorded. A recording and/or transcript of the hearing shall be furnished without charge to the aggrieved party upon request.

7. The Committee shall submit a written report to the Executive Vice President and Provost (or to the President if the grievance involves the Executive Vice President and Provost) within 30 days after the hearing. Such report shall state the recommendation of the Committee to the Executive Vice President and Provost (or to the President if the grievance involves the Executive Vice President and Provost), who will make the final decision. The report submitted to the Executive Vice President and Provost (or to the President if the grievance involves the Executive Vice President and Provost) shall include the reasons for such recommendation and shall be accompanied by the recording, transcript and all other material considered by the Committee.
8. The Executive Vice President and Provost (or to the President if the grievance involves the Executive Vice President and Provost) shall notify the Committee and the aggrieved party of the decision within ten (10) days after receiving the report from the Committee.
9. The decision of the Executive Vice President and Provost or President is final and binding.
10. All grievance records will be maintained by the Office of the Executive Vice President and Provost in accordance with University policy and applicable laws.
11. Confidentiality of all hearing and written grievance will be preserved to the greatest extent possible.
12. No faculty member shall be subject to retaliation for filing a grievance in good faith or participating in a grievance proceeding.

PART IV

ACADEMIC RANK AND TITLES

4.0 INSTRUCTIONAL FACULTY

The term “Full-time Faculty” is defined as those persons who teach twelve (12) course credit hours per semester or the equivalent. Members of the instructional staff may be appointed with a rank of instructor, assistant professor, associate professor, professor, or as lecturer, or part-time/adjunct.

4.1 INSTRUCTOR

Instructors are issued temporary-annual contracts, and there is no obligation on the part of the faculty member or of the University to continue employment beyond a three-year period at this rank.

- Individuals appointed as instructors shall have the experience or training to effectively instruct in the field/discipline that they are assigned to teach.
- The master’s degree is required for appointment as an instructor.
- Appointment as an instructor is for one year and not to exceed three years at this rank.
- **After receiving three appointments, an instructor shall receive no further appointments as an instructor.**
- Persons awarded contracts as instructors are not eligible for tenure consideration while holding such rank, nor is the time in this position counted toward tenure.

4.2 ASSISTANT PROFESSOR

Assistant professors are issued probationary-tenure track contracts annually. Assistant professors also may be issued temporary-annual contracts annually. There is no obligation on the part of the faculty member or the University to continue employment beyond the stipulated period.

- Individuals appointed to this rank shall have demonstrated high ability and promise as college teachers and researchers.
- Appointments to this rank require a terminal degree in the field/discipline in which the individual is appointed to teach, unless otherwise stipulated by the standards of the discipline.
- Individuals holding a probationary-tenure track contract shall demonstrate that they are actively working toward satisfying the requirements for tenure, and the time in this position shall be counted toward tenure.

4.3 ASSOCIATE PROFESSOR

The associate professor is of high academic rank, and the title carries no presumption of promotion to the next rank. An individual at this rank shall provide evidence of professional achievement which is recognized at state and national levels. An associate professor appointed without tenure may be issued a tenure-track –probationary contract (if available) and shall be required to demonstrate annually that he or she is actively working towards satisfying the requirements for tenure. There is no obligation on the part of the University to offer a contract beyond the stipulated period indicated on the contract.

- The associate professor shall hold a doctoral degree or its equivalent in the academic field/discipline or in a suitably related area in which he/she will teach.

- An associate professor shall have demonstrated outstanding ability as a teacher, researcher, and scholar.

4.4 PROFESSOR

Appointment or promotion to the rank of professor implies professional recognition as an authority in his/her field of specialization by professional peers, an outstanding teacher by students, and a scholar through publications, research and creative activities.

- Persons at this rank shall have a record of distinguished teaching, scholarly research or creative activities and significant service which has been recognized at state and national levels, and must have earned tenure in order to be eligible.
- A professor shall hold a doctoral degree or equivalent in a teaching or research specialty.
- Appointment as full professor usually occurs from within the Hampton University faculty and rarely to faculty new to the University.

4.5 ENDOWED PROFESSORSHIPS

For faculty members with a documented record of extraordinary performance in teaching, in their professions, and in their service, the University awards **lifetime, named endowed** professorships: the Avalon Foundation Distinguished Chair, the Old Dominion Distinguished Chair, the Gulf/Chevron Distinguished Chair, the Mellon Foundation Endowed Chair, and the Edwin G. Nourse Endowed Chair. In addition, faculty who have distinguished themselves in a variety of disciplines may be awarded a **University Professorship**. Both professorships have the added requirement that the awardees sustain a superior level of performance and make tangible contributions to the intellectual ambiance of the University throughout their tenure at Hampton.

4.6 LECTURER

The title of lecturer is granted to an individual who has special expertise and has gained recognition in the field/discipline in which he/she is expected to teach. This person is given a temporary-annual contract and may be appointed on a full-time or part-time basis in the areas of teaching and/or research. This individual is not eligible for tenure, promotion or sabbatical leave.

4.7 VISITING SCHOLAR/SCIENTIST

Short-term appointments of distinguished visitors, with or without salary, in a research/creative activity are made under such titles as Visiting Scholar, Visiting Scientist, Visiting Artist, Visiting Lecturer, etc. These individuals should have a distinguished record among their peers and their specific field/discipline. They are brought in to interact with faculty and students through teaching, research and University service.

4.8 PART-TIME/ADJUNCT FACULTY

Two types of appointments are generally used for part-time faculty appointees: non-limited (automatically renewing) and limited:

- a. For persons with a non-limited part-time appointment, the appointment continues automatically until the appropriate administrator initiates action to end the appointment. In such cases, it is recommended that the person be notified not later than March 1 that the appointment will expire.
- b. For individuals with limited part-time appointments, the immediate supervisor must initiate action prior to the expiration of the contract to continue the appointment.
 - The title of “Part-time” is given in a variety of circumstances which include those who are compensated on a part-time basis or who are contributing their services without compensation. These individuals may be primarily employed outside the University

system (e.g., practicing lawyer, judge, doctor, accountant, psychologist, and other professionals).

4.9 LIBRARIANS

University Librarians support the teaching and learning process. Librarians shall be appointed for a twelve-month contract period with parity in the progression of advancement. Librarians are not eligible for tenure or sabbatical leave.

RESEARCH FACULTY

4.10 ACADEMIC RANK AND TITLES OF RESEARCH FACULTY

The term “Research Faculty” is defined as those individuals whose duties lie principally in a research field and whose teaching assignments are limited. Members of the research staff shall be appointed as research assistant professor, research associate professor, or research professor.

4.11 RESEARCH ASSISTANT PROFESSOR, RESEARCH ASSOCIATE PROFESSOR, RESEARCH PROFESSOR

Qualifications for appointment shall parallel those set forth in this Handbook for the corresponding ranks of assistant professor, associate professor, and professor. In addition, individuals appointed shall be scholars capable of conducting intensive research in their specific discipline.

- Individuals appointed to these ranks must be completely supported by external funding, and they may remain in these categories as long as the external funding continues.
- Individuals appointed to these ranks shall not be eligible for promotion or tenure while holding such ranks.

- Individuals appointed in these categories may be transferred to the instructional faculty. At the time of transfer, an evaluation shall be made by the appropriate administrator relative to tenure credit.

CLINICAL FACULTY

4.12 CLINICAL ASSISTANT PROFESSOR, CLINICAL ASSOCIATE PROFESSOR, CLINICAL PROFESSOR

Qualifications for appointment shall parallel those set forth in this Handbook for the corresponding ranks of assistant professor (4.2), associate professor (4.3) and professor (4.4).

In addition, individuals appointed shall be professional faculty with expertise or specialization in a specific profession and whose primary responsibilities are performed in a clinical, professional, or practicum setting.

Submitted by Provost: March 2025
Approved by Board of Trustees: April 2025

PART V

CRITERIA FOR PROMOTION

5.0 CRITERIA FOR PROMOTION

The attainment of successive higher academic rank within a department reflects professional growth and achievement of status within a discipline. Such status is expected to be demonstrated by a sustained record of professional competence in the areas of teaching, research, scholarly/creative productivity and professional service. Hence, promotion is neither automatic nor the product of any set formula. Faculty in probationary tenure track positions must apply for tenure when applying for promotion to Associate Professor.

A faculty member selects one or a combination of areas upon which to document distinctive contributions. While maintaining excellence in one area, the faculty member must document above average contributions in other areas as well. Promotion to any rank is recognition of past achievements and a sign of confidence that the individual is capable of greater responsibilities and accomplishments in the future.

The candidate for promotion consideration must meet the established criteria for the rank being sought. The primary responsibility for the application rests with the individual faculty member. When the decision has been made to apply for promotion, the applicant should confer with the Chairperson for the department and follow the general steps outlined below:

- Step 1. If the faculty member desires to seek promotion, the faculty member will meet with the Department Chairperson.
- Step 2. Early in the fall semester, the dossier shall be presented to the Department Chairperson and subsequently to the Dean of the school/college for transmission to the Executive Vice President and Provost on the date indicated on the Administrative Calendar.

The dossier for promotion must include the following documents:

1. Candidate's Summary Evaluation Statement on teaching, research, scholarly/creative activities and professional service.
2. Applicant's identification of area(s) of distinction, while demonstrating above-average ability in remaining areas.
3. Chairperson's Summary Evaluation Form
4. Dean's/Director's Summary Evaluation Form indicating the area of distinction for the applicant.

5. Documentary evidence of quality in the following areas:

- a. Teaching
- b. Research
- c. Scholarly/creative productivity
- d. Professional service

6. Supporting documents from chairs:

- a. Faculty and Course Evaluation Forms (last 3 years)
- b. Faculty Performance Evaluations (last 3 years)

Step 1. The Chairperson shall forward a recommendation either for or against the granting of promotion to the Dean of the School/College in which the department is located. The dossier shall accompany the recommendation.

Step 2. The recommendations of the Dean and Chairperson, together with the dossier, shall be sent to the Executive Vice President and Provost. However, before the recommendation is submitted to the Executive Vice President and Provost, the candidate shall be informed of the recommendation by the Dean/Director of the respective academic unit of his/her approval or disapproval for promotion.

Step 3. The Executive Vice President and Provost shall submit the dossier to the Committee on Academic Personnel for review and recommendations.

Step 4. The Executive Vice President and Provost shall meet with the Committee on Academic Personnel and review the findings of the Committee. Recommendations shall be submitted to the President and subsequently to the Board of Trustees for approval.

Submitted by Provost: March 2025
Approved by Board of Trustees: April 2025

5.1 INSTRUCTOR

This is the initial rank granted at Hampton University. When an instructor is considered for promotion, he/she must have a graduate degree and meet the criteria which qualify him/her for the rank of assistant professor. (Refer to Part IV, Section 4.1 for specific guidelines.)

5.2 ASSISTANT PROFESSOR

An Assistant Professor shall have demonstrated high ability and promise as a college teacher. Persons holding the doctoral degree in the area of appointment may be appointed to this rank without meeting the teaching-expertise requirements. Once appointed, faculty at this rank must show evidence of developing teaching effectiveness as identified on the Faculty Performance Evaluation Form and must show evidence of developing credibility in scholarly activities, and commitment of professional service to students and the academic community. A probationary tenure track faculty member at this rank must apply for tenure when applying for promotion to Associate Professor. In addition, candidates at this rank must have a minimum of three (3) publications in refereed journals of high quality while at Hampton University.

5.3 ASSOCIATE PROFESSOR

An Associate Professor shall hold a doctoral degree, or its equivalent, in the assigned-teaching field/discipline. The person shall have had at least 3-5 years of professional experience in teaching, research, or other professionally-related activities and shall have demonstrated creative and scholarly ability as a college teacher. Faculty who wish to use college teaching experience from another institution, when requested, must submit evaluation of teaching performance. In addition, candidates at this rank must have a minimum of three (3) publications in refereed journals of high quality while at Hampton University and funded grants. Tenure must be earned at the rank of Associate Professor *before* a candidate is eligible to apply for promotion to full Professor.

5.4 PROFESSOR

A Professor shall hold a doctoral degree, or its equivalent, in the teaching field/discipline. The individual shall have had ten (10) years of full-time college teaching and shall have demonstrated creative and scholarly ability as a college teacher. This individual shall have a record of distinction in teaching, in scholarly research or as a creative artist, in public life, and in education or in administration. In addition, the candidate must have published a minimum of four (4) refereed journal articles or two (2) peer-reviewed articles and a peer-reviewed book since promotion to Associate Professor, and demonstrated successful grantsmanship or grant/gift management. A candidate must also show a discernible commitment (such as participation in major college activities and regular attendance at university events to include cultural activities) to Hampton University, its students and its mission, as well as demonstrate active involvement in university life. It is also expected that candidates must demonstrate a positive attitude and strong support for the institution. Once the rank of Full Professor is awarded, they must continue to

demonstrate substantial growth in teaching, research, scholarly/creative activity, and professional service.

5.5 MERITORIOUS RANK

The President may grant rank to those who have achieved exceptional merit as measured by national, regional, or state standards and acclaim. An individual receiving meritorious rank should have achieved distinction in one of the requirements for rank, but not at all. The granting of meritorious rank by the President may not exceed 10% of Academic Personnel Committee actions during any given year.

5.6 EMERITUS/EMERITA FACULTY RANK

Emeritus/Emerita status may be granted to retiring full-time tenured faculty members and administrators in recognition of dedicated service at Hampton University upon approval of the Board of Trustees at the recommendation of the University President. It is an earned rank and as such entitles its holders to commensurate rights and privileges.

5.6.1 ELIGIBILITY REQUIREMENTS

Emeritus/Emerita rank is granted in recognition of meritorious and distinguished service to Hampton University. Meritorious and distinguished service implies demonstration of professional competence and evidence of exceptional service which has exceeded the expected norm of performance, to the University. Further, the faculty member is expected to have: (1) made contributions to his or her field; (2) exhibited dedication to the institution and to higher education; (3) provided significant participation in campus life; (4) provided outstanding service to the community; and (5) been held in high esteem by students and colleagues. or individuals who have distinguished themselves as administrators. In order to be considered for Emeritus/Emerita status, individuals at the above ranks or positions must have given distinguished service to the University

for at least ten (10) years and must have held the title for at least five (5) years prior to retirement from the University.

The individual must have an exceptional record of moral and ethical behavior as well as an equally remarkable record of a discernible commitment to the University. There can be no significant disciplinary action throughout the ten (10) years prior to retirement. Further, his/her record of teaching, research/scholarly productivity and service will be considered as additional evidence toward earning Emeritus status.

5.6.2 EMERITUS/EMERITA SENIOR ADMINISTRATOR RANK

As delegated by the Board of Trustees, conferral of Emeritus/Emerita status is an honor that may be granted by the Board of Trustees upon retirement of a University employee who has provided dedicated and distinguish service to the University. The Board of Trustees approves Emeritus/Emeritus status for Senior Administrative Officers (SAOs) and delegates to the President the authority to approve Emeritus/Emerita status for these officers. This policy describes eligibility, criteria, and procedure for conferring Emeritus/Emerita status to Senior Administrative Officers.

5.7.1 ELIGIBILITY REQUIREMENTS

Individuals serving at the time of retirement as Senior Administrative Officers and have ten (10) or more years of service to Hampton University are eligible for Emeritus/Emerita status. The Board of Trustees may make exceptions to these eligibility requirements. The individual must provide evidence of extraordinary and meritorious contributions to the fulfillment of program initiatives and the University's mission.

5.7.2 PROCEDURES

- (1) The Board of Trustees, President, Executive Vice President and Provost and appropriate officers on the Administrative Council may initiate the recommendation for Emeritus/Emerita status of SAO employees upon notification of retirement.
- (2) The immediate supervisor may initiate the recommendation for Emeritus/Emerita status of SAO employees upon notification of retirement.
- (3) Recommendations for Emeritus/Emerita status shall be forwarded to the President and must include the following information:
 - a. Nominee's name and position;
 - b. Beginning and ending dates of employment;
 - c. Brief description of the extraordinary and meritorious contributions to the fulfillment of program initiatives and the University's mission (2-page limit).
- (4) Emeritus/Emerita status is awarded to SAO employees by the Board of Trustees upon the recommendation of the President.
- (5) Emeritus/Emerita status is awarded with the title held at the time of retirement.

5.8 INTERPRETIVE GUIDELINES

Faculty in the areas of architecture, art, aviation and journalism must meet the general criteria for promotion (See page 61). The following exceptions are related to training and experience:

AREA	RANK	DEGREE/TRAINING REQUIREMENT	EXPERIENCE
Aviation	Instructor	Master's Degree in allied field or Bachelor of Science Degree in Airway Science or allied field	Plus two years of professional experience
Aviation	Assistant Professor	Master's Degree in allied field	Plus four years of combined professional and teaching experience or documentation of exceptional qualifications.
		Bachelor of Science in Airway Science or allied field	Plus four years of professional and teaching experience and documentation of exceptional qualifications
Aviation	Associate Professor	Master's Degree in allied field or	Plus seven years of professional and teaching experience with a minimum of two years of teaching and documentation of outstanding ability as a college teacher.
		Doctoral Degree	Plus seven years of professional and teaching experience.
Aviation	Professor	Master's Degree in allied field or	Plus ten years of professional and teaching experience with a minimum of five years of teaching and documentation of outstanding ability as a college teacher.

AREA	RANK	DEGREE/TRAINING REQUIREMENT	EXPERIENCE
		Doctoral Degree	Plus ten years of professional and teaching experience with a minimum of five years teaching and documentation of outstanding ability as a college teacher.
Architecture	Instructor	Master of Architecture or Master's Degree in allied field or Bachelor of Architecture	Plus one year of professional experience.
Architecture	Assistant Professor	Ph.D. or Doctorate in Architecture or allied field Master of Architecture (Graduate Advance degree) or Master Degree in allied field	Plus one of the following: (1) Three years of college teaching or professional experience (2) professional registration. Demonstrated potential for excellence in creative achievement, teaching, research and service.
		Master's degree in allied field (urban design, construction, planning, landscape, architecture, architectural engineering, interior design, fine art and design)	Plus four years of professional or college teaching experience or professional registration
		Bachelor of Architecture	Professional registration or certification in Architecture

AREA	RANK	DEGREE/TRAINING REQUIREMENT	EXPERIENCE
Architecture	Associate Professor	Ph.D. or Doctorate in Architecture or allied field	Plus seven years of college teaching experience or seven years professional experience with a minimum of three years in college teaching.
		Master of Architecture (Graduate Advance degree) or Master Degree in allied field	And one of the following: (1) Eight years professional teaching (2) professional registration or certification and six years professional or University teaching experience or both.
		Bachelor of Architecture Degree or Professional Master of Architecture (5-5 1/2 years) 1 st professional degree	Plus one of the following: (1) Ten years of a combination professional experience and a minimum of four years of teaching experience with professional registration (2) certification and ten years professional or college teaching experience.
Architecture	Professor	Ph.D. or Doctorate in Architecture or allied field	Ten years professional experience with at least four years in college teaching
		Master of Architecture (Graduate Advance degree) or Master Degree in allied field	Ten years of professional experience with a minimum of five years in teaching and one of the following: (1) professional registration or certification and ten years of college teaching experience. (2) Professional registration, ten years of professional experience and four years of college teaching.

AREA	RANK	DEGREE/TRAINING REQUIREMENT	EXPERIENCE
		Multiple professional degrees at master's level in related field, including one in Architecture	Plus ten years of professional experience with a minimum of five years in teaching and professional registration or ten years professional experience with demonstrated exceptional creative achievements, research, teaching, or service.
Art/Theatre (FAPA)	Instructor	Master's Degree or one year of systematic graduate study in the teaching area.	
	Assistant Professor	Doctoral Degree (In assigned teaching field)	
		Master of Fine Arts (MFA) or	Plus three years teaching or professionally related activities.
		Master of Arts	Plus three years teaching or professionally related experience and one year of systematic graduate study in the teaching area.
	Associate Professor	Master of Fine Arts (MFA) or	Plus seven years of teaching (three at the college level) or professionally related experience and recognition in the field of Art/Theatre.
		Doctoral Degree (in assigned teaching field)	Plus seven years teaching (three at the college level) or professionally-related experience and recognition in the field of Art/Theatre.
Art/Theatre (FAPA)	Professor	Master of Fine Arts (MFA)	Ten years of teaching

AREA	RANK	DEGREE/TRAINING REQUIREMENT	EXPERIENCE
		Doctoral Degree (in assigned teaching field)	Ten years of teaching (five at the college level) or professionally related experience and recognition in the field of Art/Theatre.
Journalism Practice Track	Instructor	Master's Degree in Journalism/Communications or related discipline	Plus one year of systematic graduate study in a teaching area.
		Bachelor's Degree in Journalism/Communications or related discipline	Plus 5 years of continued journalism work in the profession.
Journalism Practice Track	Assistant Professor	Master's Degree in Journalism/Communications or related discipline	Plus 3 years of teaching and/or current engagement within the past 24 months in creative/professional activity, and demonstrating the potential for grantsmanship activity.
		/or current engagement	Within the past 24 months in creative/professional activity and demonstrating the potential for grantsmanship activity.
Journalism Practice Track	Associate Professor	Master's Degree in Journalism/Communications or related discipline	Plus 10 years of teaching and current engagement within the past 24 months in professionally related activities; demonstrated evidence of professional productivity; and grantsmanship activity.
		Bachelor's Degree in Journalism/Communications or related discipline	Plus 12 years of teaching and current engagement within the past 24 months of professionally related activities; demonstrated evidence of current professional productivity; and grantsmanship activity.

Journalism Practice	Professor	Master's Degree in Journalism/Communications or related discipline	Plus 12 years of professional experience; national and/or international reputation within the field based on active engagement with the past 24 months in creative/professional work; demonstrated and documented outstanding ability as a college teacher; funded grants and publications.
		Bachelor's Degree in Journalism/Communications	Plus 15 or more years of professional experience; national and/or international reputation within the field based on creative/professional work; and/ active engagement in the field within the past 24 months; demonstrated and documented outstanding ability as a college teacher; and funded grants and publication.
		Bachelor's Degree in Journalism/Communications or related field	Plus 15 or more years of professional experience; national and/or international reputation within the field based on active engagement within the past 24 months in creative/professional work; or demonstrated and documented outstanding ability as a college teacher; funded grants and publications.
Journalism Concept/ Theory Track	Assistant Professor	PhD in Journalism/Communications or related discipline	Plus credentials to support ongoing research potential and grantsmanship activity.
Journalism Concept/ Theory Track	Associate Professor	PhD Degree in Journalism/Communications or related discipline	Plus 7 years of professional experience; demonstrated evidence of professional productivity; developing prominence within the field as a research scholar; and/ active engagement in the field within the past 24 months; documentation of sound teaching

skills at the college level; and grantsmanship activity.

Journalism Concept/	Professor	PhD Degree in Journalism/Communications or or related discipline	Plus 10 years of professional experience/documented national and/or international reputation within the field based on creative/professional work; and or active engagement in the field within the past 24 months demonstrated and documented exemplary skills as a college teacher; funded grants and publications.
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Note: Journalism criteria adapted from Journalism/Mass Communication Criteria, UNC Chapel Hill. Upon appointment, faculty in the Scripps Howard School of Journalism and Communications will be placed on a *Journalism Practice or Journalism Concept/Theory Track*. Once appointed to a track, the faculty member is not permitted to change from one to the another. Currently, there are no tenure track appointments available.

PART VI

PROGRESSION TOWARD TENURE

6.0 PROGRESSION TOWARD TENURE

The normal progression to tenure begins with a probationary tenure-track (PTT) appointment. Faculty members within the University at the associate professor rank become eligible after completion of a probationary period which shall not exceed six (6) years.

Tenure is the assurance of a continuing full-time teaching position at Hampton University unless the faculty member is removed for cause, resigns, or retires, or is terminated as the result of bona-fide financial exigency or of discontinuance or reduction of an academic program or department, rendering his/her position unnecessary. The granting of tenure is a major decision and should not be considered automatic.

Candidates must identify a primary area in which they have brought distinction to students, the department, school, university, profession and themselves. In addition, candidates must document above-average performance in supporting areas.

A candidate might select teaching as the area of distinction, and research/scholarly/creative activity or service as supporting areas. Candidates for tenure must have demonstrated the capability to work responsibly toward the goals and mission of the department, school, and University. To earn tenure, the candidate shall have demonstrated a record of distinction in teaching, in scholarly research or as a creative artist, in public life and in education as defined in Section V, 5.3 and 5.4. They must also have published a minimum of three (3) refereed journal articles and demonstrated successful grantsmanship or grants/gifts management within a six (6) year period. In addition to demonstrating high standards in teaching excellence and scholarly activities, a candidate must show a discernible commitment (such as participation in major college

activities and regular attendance at university events to include cultural activities) to Hampton University, its students and its mission, as well as demonstrate active involvement in university life. It is also expected that candidates demonstrate a positive attitude and strong support for the institution. Once tenure is awarded, they must continue to achieve substantial growth in teaching, research, scholarly/creative activity, and professional service

6.1 GENERAL CRITERIA

Tenure does not apply to administrative positions or titles. Faculty who are granted tenure or tenure-track status must be assigned to the department or area in the discipline in which they hold the terminal degree. A limit of sixty (60) percent in each department is reserved for tenure track and/or tenured positions; the availability of tenured positions within the departments is dependent upon such factors as enrollment, future programmatic direction and the percentage of the department already holding tenure. Consequently, there are times when a department may not have a tenure position available. A Probationary Tenure Track (PTT) position cannot be offered if tenure-track and/or tenured positions have already reached the 60% unit maximum. Tenure shall be granted to those faculty members whose professional profiles indicate that they will continue to serve with distinction in their appointed roles.

- Once appointed to a tenure-track position, a faculty member at the rank of associate professor or above, who continues to meet evaluation standards, has six (6) years to demonstrate his/her superior qualifications and to present evidence of excellence as a professional in his/her field/discipline.
- Prior to March 1 of the third year of a Probationary Tenure-Track (PTT) or Temporary Annual (T/A) appointment, a faculty member's performance shall be formally reviewed by the appropriate Department Chairperson and Dean. The results of those reviews shall be

communicated to the faculty member concerned and to the Executive Vice President and Provost. Faculty whose overall performance falls below average shall not be reappointed.

- At the three (3) year review, Deans may move faculty from a PTT to TA appointment or from a TA to a PTT appointment based on overall performance.
- If at the three (3) year review, Deans recommend that a faculty member move from a TA to a PTT appointment, based upon overall performance, and the department has reached its 60% ratio, the faculty member may be moved when a PTT position becomes available. The faculty member will be given three (3) years from the date of the move, to earn tenure or he/she will receive a terminal contract. If tenure is not awarded within the three (3) year period, the faculty member will receive a terminal contract in the fourth (4) year.
- If, within the six (6) year period, tenure is not awarded, the faculty member will receive a terminal contract in the seventh (7th) year of service.
- At the end of the seventh (7th) year, the individual will be terminated from Hampton University.
- Only full-time teaching/research functions at the rank of assistant professor or above shall be counted toward tenure. Study leave for a maximum of one year, supported by the University for a terminal degree shall be counted as time in service.
- Only persons with a doctorate or the equivalent shall be eligible for tenure consideration.

6.2 APPLYING FOR TENURE*

Prior to the end of each academic year, the Department Chairperson, in consultation with the School/College Dean or appropriate supervisor, shall notify each person in tenure-track positions of his/her progress in moving toward tenure. A faculty member on the tenure track at the

rank of assistant professor may apply for tenure and promotion to associate professor in year four, but the sixth year is reviewed as a preferred time. A faculty member on the tenure track at the rank of associate professor may apply for tenure at any time, but the sixth year is viewed as a preferred time. A faculty member who applies and is rejected prior to the sixth year is still eligible for consideration, and decisions made earlier than the sixth year will not prejudice the Committee on Academic Personnel.

**See Interpretive Guidelines, p. 83, for examples of equivalency.*

In the fall of the fifth year, the Dean of the school shall send a letter at the end of the first semester inviting the faculty member to apply for tenure and to prepare a dossier to be reviewed by the school-wide Tenure and Promotion Committee. The dossier should be submitted to the Executive Vice President and Provost in the fall semester of the sixth year.

When a faculty member has been notified by the School Dean that he/she will be eligible for tenure consideration during the sixth year, the following steps shall be followed:

- Step 1. The faculty member shall inform his/her Chairperson whether he/she wishes to apply for review for tenure. (If the faculty member does not apply for the review process, he/she will not receive an additional contract from the University).
- Step 2. The Department Chairperson shall meet with the faculty member and indicate that a dossier should be assembled. The Chairperson may review the draft of the dossier.
- Step 3. The Chairperson shall forward a recommendation either for or against the granting of tenure to the Dean of the school/college in which the department

is located. The Dean shall review the document and forward a recommendation either for or against the granting of tenure. The dossier shall accompany the recommendation.

Step 4. The recommendations of the Dean and Chairperson, together with the dossier, shall be sent to the Executive Vice President and Provost. However, before the recommendation is submitted to the Executive Vice President and Provost, the candidate shall be informed of the recommendation by the Dean/Director of the respective academic unit of his/her approval or disapproval for tenure.

Step 5. The Executive Vice President and Provost shall submit the dossier to the Committee on Academic Personnel for review and recommendations.

Step 6. The Executive Vice President and Provost shall meet with the Committee on Academic Personnel and review the findings of the Committee. The Executive Vice President and Provost and the Committee on Academic Personnel shall submit their recommendations to the President who shall subsequently submit his/her recommendations to the Board of Trustees for action.

6.3 CREDIT TOWARD TENURE FROM ANOTHER UNIVERSITY

University policy provides that no more than three years of credit for full-time teaching at another university shall be counted toward the attainment of tenure at Hampton University. The policy provides for a six-year probationary period, including time spent at another institution. Hampton University accepts prior credit for one, two, or three years; however, prior credit must have been gained at the rank of assistant or associate professor and documented evidence to

substantiate teaching experience at another institution must be provided in writing by officials at the other university. The amount of time to be credited toward tenure is evaluated carefully at the time of appointment; no subsequent retroactive adjustment of tenure credit will be made.

6.4 PREVIOUS TENURE AT ANOTHER UNIVERSITY

Tenure is not transportable. Individuals who have been granted tenure at another institution are eligible for tenure consideration at the beginning of the second year of appointment. The Department Chairperson and the School/College Dean shall follow the same steps listed under 6.2 “Applying for Tenure.” (See page 74.)

6.5 SPECIAL TENURE PROVISION

In cases of exceptional merit, as measured by national, regional, or state standards and acclaim, the President in any given year may grant tenure as deemed in the best interest of Hampton University. The number of tenured positions so granted may not exceed ten percent (10%) in any given year of the total tenured faculty.

PART VII

PROFESSIONAL LEAVES OF ABSENCE AND EDUCATIONAL GRANTS

7.0 PROFESSIONAL LEAVES OF ABSENCE

Hampton University recognizes that further study, research, professional writing, and other professional development activities are necessary to maintain a viable faculty. Faculty leaves of absence may be granted with or without partial or full compensation. Faculty receiving partial or full compensation or grants from the University for leaves are required to teach at Hampton, upon return, for a period equal to at least twice that of the period of absence. If a faculty member fails

to fulfill this obligation, repayment of the amount received, with interest, must be made immediately upon breaking the agreement, unless the faculty member provides evidence of extenuating circumstances agreed to by the University. All professional leaves are subject to the recommendations of the President and other appropriate administrators, and the approval of the Board of Trustees.

7.1 SABBATICAL LEAVE

The University maintains a Sabbatical Leave Policy that is reviewed periodically as required by current conditions. A sabbatical leave provides an opportunity for professional development of tenured faculty members. Sabbaticals may be granted for one semester at full salary or for an academic year at half salary.

The primary consideration in awarding a sabbatical is to provide the opportunity for a faculty member to conduct research or other scholarly work, to acquire new teaching techniques in one's discipline, or in a new area appropriate to one's needs, or to complete a book or other original paper. Sabbaticals are limited to the availability of funds during the year of application and to substantive evaluation of the significance of the sabbatical proposal.

Faculty applying for sabbatical leave must have completed, by the time of the leave, six (6) years of full-time teaching at the University or six (6) years of full-time teaching after the completion of a previous sabbatical leave. Failure to earn approval for sabbatical at a given time does not preclude reapplying in subsequent years. Fringe benefits will be continued during the sabbatical leave unless otherwise stipulated, in writing, to the faculty member.

7.1.1 SABBATICAL RESTRICTIONS

- Assurance must be given by the Chairperson that the faculty member's responsibilities at Hampton University shall be carried out by qualified faculty.

- Sabbaticals are limited to tenured members of the faculty. Only time in rank at Hampton University is counted toward the sabbatical. Official leave granted for advanced study for a maximum of one year may be counted toward the sabbatical.
- At any given time, only one faculty member per department shall be permitted a sabbatical.
- A faculty member is expected to return to the University with the explicit intent of remaining for the period of time stipulated in “Professional Leaves of Absence” (page 97).
- At least one year of service must remain between the completion of the sabbatical leave and the date of retirement.

7.2 DISSERTATION AWARD

When resources are available, the University may grant leave to individuals who are pursuing a terminal degree or terminal requirement in a professional area. The award may include full or partial leave of absence with some compensation. If other criteria have been met, time in rank or previous leaves will not impact upon receipt of this award. (See “Applications for Leaves,” page 101).

7.3 SUMMER-STUDY GRANT

A limited number of full-time study grants may be awarded for summer study when resources are available. Priority will be given to individuals who wish to pursue further education in fields for which the University has a need, or individuals who are desirous of retraining and who are also in low enrollment departments.

7.4 RETRAINING GRANT

Limited funds are available for retraining persons in the following categories: (a) tenured or tenure-track faculty members; (b) individuals subject to loss of employment as a result of retrenchment; and (c) administrators and faculty with a minimum of five (5) years of continuous employment. Priority is given to those seeking retraining in new fields and areas of special interest to the University.

7.5 IN-SERVICE TRAINING GRANT

Special in-service training opportunities for faculty and for academic-support staff to gain expertise in new technology, and in other fields, may be made available through institutional funds and external grants. Recipients are expected to use new skills for the enhancement of academic programs at the University.

7.6 EDUCATIONAL STUDY LEAVE/GRANT

The University is committed to providing funds for individuals teaching in professionally related areas to pursue advanced study in priority areas, as defined by the University. When fiscal resources are available, the University awards modest grants to assist academic personnel in educational study.

7.6.1 EDUCATIONAL STUDY LEAVE/GRANT RESTRICTIONS

To be eligible for educational study leave, the applicant must meet the following requirements:

- Exemplify special abilities that will enhance his/her reputation as well as that of the University;
- Be tenured or in a tenure-track position or in an academic area special to the mission of Hampton University;

- Pursue study in an approved area, as defined by the University;
- Provide proof of acceptance into a graduate program offering terminal degrees;
- Must have at least three years of teaching or professionally related experience at Hampton University; and
- Must be recommended by his/her Chairperson, Dean or supervisor.

7.7 LEAVE WITHOUT PAY

Academic leave without pay may be granted to an instructional faculty member with tenure, or in a tenure-track position, and with three years of continuous employment. Such leave is approved for a period of one semester to one year. Under special circumstances, leave without pay may be available for a maximum of two years. Commitment to return following leave is required by general institutional policy (See “Professional Leaves of Absence,” page 94.) During the period of leave, the University holds the faculty member’s position until he/she returns. Failure by the faculty member to honor the commitment to return will be considered unethical professional behavior, and the individual’s personnel record shall carry the notation “Departure with Prejudice,” unless the individual can present evidence of extenuating circumstances for his/her failure to return as scheduled, and such documentation receives University approval.

7.8 APPLICATIONS FOR LEAVES

Applications for all leaves and grants must be received by the Office of the Executive Vice President and Provost no later than the first day of the semester prior to the starting date requested for a leave or grant with exception given to sabbatical and leave without pay (LWOP) which is submitted in January. Application forms for all leaves or grants shall be secured from the Office of the Executive Vice President and Provost.

Applications should include detailed reports of proposed study, research, or other scholarly activities. Statements of support from the Department Chairperson, School Deans, and statements from the Department Chairpersons or appropriate supervisors, detailing how the individual's responsibilities will be handled during the period of leave must accompany each application.

All applications must be submitted following the standard procedure to the Executive Vice President and Provost for recommendation to the President. Professional leaves must be approved by the President and the Board of Trustees.

PART VIII

FACULTY RESPONSIBILITIES IN THE INSTRUCTIONAL PROGRAM

8.0 FACULTY RESPONSIBILITIES IN THE INSTRUCTIONAL PROGRAM

Instructional faculty are expected to meet contractual obligations through teaching, research, creative productivity and professional service to the University. These responsibilities shall be conducted in terms of established University procedures and policies.

8.1 FACULTY LOAD

Each faculty member will be responsible for a full teaching schedule from twelve to fifteen semester hours, or the equivalent of 240 student semester hour units (SSHUs) and having contact with a minimum of 80 students for each semester of the academic year, or as specified by the Office of the Executive Vice President and Provost. Individuals who fail to reach the minimum SSHU and student contact requirements will be assigned classes to reach the minimum requirements. It also may be necessary for individuals to teach continuing education or graduate

courses, have interdisciplinary assignments, or assume other assignments, in order to meet the minimum student contact requirements.

The general teaching load is twelve (12) credit hours per semester, or the equivalent, in the Undergraduate College. Adjustments in teaching load for research, special scholarly projects or primary teaching assignments at the graduate level may be made upon the recommendation of the appropriate Chairperson and Dean to the Executive Vice President and Provost. Reduction in teaching load is made upon the written approval of appropriate Deans and the Executive Vice President and Provost.

8.2 CLASS SIZE

Maximum class size for effective instruction is established by the Dean of each school/college in collaboration with the Chairperson and the Executive Vice President and Provost. In some specialized areas, accreditation standards and the nature of the course mandate that a faculty member should have contact with fewer than twenty (20) students. In such cases, the equivalency ratio shall be five (5) students to twenty (20) in a regular class. Special courses to which the equivalency formula applies shall be identified by each School Dean and approved by the Executive Vice President and Provost.

For lecture courses, the number of credit hours is usually the same as the clock hours spent in class each week. For laboratory courses, two clock-hours generally count as one credit hour. Exception to this ratio is made in accordance with accreditation standards established by the specific discipline or by the nature of the clinical or field experience.

8.3 SUMMER SESSION CLASS SIZE

The required number of registered students for the undergraduate and graduate summer-session classes is twelve (12) and eight (8), respectively. Any exception to this policy must be

requested by the specific area and approved by the Director of the Summer Session. The salary for approved classes with fewer than ten students will be prorated on a per-student basis, not to exceed the single-course rate. A full teaching load for the summer session is three (3) courses or the equivalent eight (8) to nine (9) credit hours.

8.4 RECORDS

Faculty members must maintain in Blackboard an electronic grade book containing the grades for every course taught each semester. A hard copy of the grade book for each course must be submitted to the appropriate Dean at the end of the academic year. If a faculty member leaves the employment of the University, he/she is required to submit all records to the Dean. Failure to comply with this regulation will result in the withholding of the faculty member's salary, and a notation will be made in his/her personnel file. Each faculty member is required to keep completed final examinations at least one academic year; or in the event of departure by the faculty member, such completed examinations will be held for the requisite academic year by the faculty member's departmental office.

8.5 COURSE OUTLINES/SYLLABI

Faculty members are required to prepare a course outline/syllabus for each course taught. On the day of the first class meeting, copies of the course outline/syllabus must be distributed to each student, the Department Chairperson, and the School Dean/Area Director. A copy of all course syllabi must also be available in Blackboard each semester. The course outline/syllabus shall adhere to the standardized syllabus template as specified by the university (Refer to Appendix N).

8.6 CLASS ATTENDANCE

Students are expected to attend all classes. Students shall be responsible for course work and assignments missed during their absence. Faculty members have the right to establish attendance requirements in each of their courses. Instructors are responsible for clearly informing the students in the course syllabus at the beginning of the semester of the attendance requirements and the consequences of poor attendance. Faculty members should refer students to the Official Student Handbook, Living, Learning, Leadership and Service, in the section on Academics, for additional regulations regarding class attendance.

Faculty members are requested to allow students to make up work missed when the absence is a result of (1) illness, (2) participation in an institution-sponsored activity (verified by a written statement from a faculty sponsor), and (3) recognizable emergencies approved by the Dean of Residence Life or Dean of Judicial Affairs and Housing, and the Executive Vice President and Provost.

8.7 ACADEMIC GRADING POLICY

The current grading system for Hampton Institute (the Undergraduate College) appears here, in the Academic Catalog and in the Official Student Handbook.

Grades and Grade Reports

A grade report is sent at the end of each semester to each student. Mid-term evaluations are sent to the student at mid-semester. The midterm evaluations are not recorded on the student's permanent record. The student's local address of record is used for all reporting and other communication during the semester, and the student's permanent address of record is used at semester's end and other times.

The Grading System Effective Fall 1994

<u>Letter Grade</u>	<u>Numerical Grade</u>	<u>Quality Points</u>
A+	98 – 100	4.1
A	94 – 97	4.0
A-	90 – 93	3.7
B+	88 – 89	3.3
B	84 – 87	3.0
B-	80 – 83	2.7
C+	78 – 79	2.3
C	74 – 77	2.0
C-	70 – 73	1.7

The Grading System Effective Fall 1994 (Continued)

<u>Letter Grade</u>	<u>Numerical Grade</u>	<u>Quality Points</u>
D+	68 – 69	1.3
D	64 – 67	1.0
D-	60 – 63	0.7
F	Below 60	0.0

AU Audited work. Not computed in and not applicable to cumulative grade point average (GPA).

I Incomplete work. Not computed in and not applicable to cumulative grade point average (GPA) but converts to “F” if work not completed within a year for undergraduate students and to a “Z” after one semester for graduate students. The student does not need to be enrolled to remove an “I” grade. A grade of “I” indicates that the student has maintained a passing average, but for reasons beyond his or her control, some specific item such as an examination,

a report, a notebook, or an experiment has not been completed. The student holding a grade of “I” is responsible for taking the initiative in arranging with the instructor for changing the grade.

- IP Students separating from the University because of mobilization in the Armed Forces will receive grades of “IP” (“In Progress”) and will have up to three years from the date “IP” grades were issued to remove the “IP” grades. During that three-year period, the students will not be charged tuition for attending courses in which “IP” grades were awarded.
- S Satisfactory at the “C” or higher grade for undergraduate courses, or “B” or higher for graduate courses. Not computed in the cumulative GPA, grade point average.
- U Unsatisfactory below the “C” level (i.e. C-, D+, D, D-, F) for undergraduate courses or “B” level for graduate courses. Not computed in the cumulative GPA grade point average.
- WP Withdrew Passing – Not counted in cumulative average.
- WF Withdrew Failing – Not counted in cumulative average.
- Z Blank/No grade submitted.

8.8 MIDTERM EVALUATION

Faculty members are required to provide periodic evaluations of the performance of students enrolled in the undergraduate college at Hampton University. At the time of mid-semester evaluations, a letter grade shall be assigned as the formal interim assessment of a student’s performance. This letter grade shall be submitted using the appropriate format to the Office of the Registrar. The midterm evaluation will be sent to students (and to parents when appropriate).

8.9 STUDENT EVALUATION OF COURSES

Students’ evaluation of courses and of their instructors is a valuable tool in the continuous improvement process. During a specified period each academic semester, students will be provided

the opportunity to provide comments and evaluate both courses and instructors for all courses in which they are enrolled. This process of evaluation will be conducted by the Center for Teaching Excellence. The Center for Teaching Excellence will provide summary reports of evaluations to the faculty member, the respective Chairperson, the respective Dean, and the Executive Vice President and Provost.

8.10 FINAL EXAMINATION POLICIES

The examination schedule for the undergraduate college is printed by the Office of the Registrar and should not be altered without approval by the Department Chairperson and School Dean, in collaboration with the Registrar and the Executive Vice President and Provost. Each course shall be terminated with a final examination or evaluation. The examination grade, combined with the class record for the semester, will constitute the student's final grade. Students who are absent from final examinations for reasons beyond their control may apply to the appropriate Dean of Residence Life or Judicial Affairs and Housing for official verification. Students must also confer with the instructor of the course. It is the responsibility of the instructor to accept, reject, or make individual adjustments for students missing examinations. Detailed rules governing examinations can be found in the Official Student Handbook.

8.11 POSTING GRADES

A faculty member at his/her own discretion may post grades. When posting grades, faculty members must use a code to identify students. **Students must not be identified by name, by full social security number, student ID number or by the position of their names on the class roll.**

8.12 CHANGE OF GRADE POLICY

Only under exceptional circumstances is it possible to have grades changed once they have been placed on a student's permanent record. One exception is the changing of a grade of

“Incomplete.” A grade reported and recorded can only be changed upon the instructor of record’s written request. Requests for grade changes must be submitted on a change of grade form. The instructor of record must complete the form, obtain all of the necessary signatures, (i.e., Department Chairperson, School Dean/Director, and Executive Vice President and Provost), and submit the approved form to the Registrar’s Office for processing. Such a change can be approved only upon certification by the instructor of record that the originally reported grade was in error.

If the instructor of record is not available for justifiable reasons, a three (3) member Change of Grade Panel, comprised of faculty members appointed by the Executive Vice President and Provost, will evaluate the change of grade request to determine if the change is warranted. If approved by the Committee, a change of grade form will be forwarded to the Office of the Registrar. The Registrar will not record the change until the request has been approved and properly signed by the appropriate administrators. Violations of the grading policy will result in an official letter of reprimand. Repeated violators may be subject to dismissal for cause by the Executive Vice President and Provost.

8.13 CREDIT BY EXAMINATION

A student may request credit by examination for the purpose of validating knowledge of the material presented in a course. Prior to processing the request, the “Application for Credit by Examination” form must be approved by the Chairperson of the student’s department, the Chairperson of the department offering the examination, and the appropriate Dean(s). Approval by the Executive Vice President and Provost is required prior to fee payment. A copy of the examination must be filed with the appropriate Dean. Credit by examination shall not be authorized for a course previously failed by the student.

8.14 ACADEMIC DISHONESTY*

An act of academic dishonesty, even a first offense, places the student in jeopardy of severe forms of disciplinary action, including dismissal. A student is in jeopardy of severe forms of disciplinary action, including dismissal, if he/she is guilty of committing one of the following violations:

- I. **Cheating** – A student is considered to be cheating if, in the opinion of the person administering an examination/test (written or oral), he or she gives, seeks, or receives aid during the process of the examination/test; buys, sells, steals, or otherwise possesses or transmits an examination/test without authorization; or, he/she substitutes for another or permits substitution for himself/herself during an examination/test.
 - A. A student must not use external assistance on any “in class” or “take home” examination, unless the instructor specifically has authorized such assistance. This prohibition includes, but not limited to, the use of tutors, books, or notes.
 - B. A student must not submit substantial portions of the same academic work for credit or honors more than once without permission of the present instructor.
 - C. A student must not allow others to conduct research or to prepare any work for him or her without advance authorization from the instructor. This prohibition includes, but not limited to, commercial term-paper companies and files of past papers.
 - D. Several people must not collaborate on a single project and submit multiple copies, all represented implicitly or explicitly, as individual work.
- II. **Fabrication** – A student must not intentionally falsify or invent any information or citation in an academic exercise.

- III. **Plagiarism** – The American College Dictionary defines plagiarism as “copying or imitating the language, ideas, and thought of another person and passing of the same as one’s original work.” A student must not intentionally adopt or reproduce ideas, words, or statements of another person without acknowledgement. He/she must give due credit to the originality of others and honestly pay his/her literary debts and acknowledge indebtedness in the following instances:
- A. Quotes another person’s actual words;
 - B. Uses another person’s ideas, opinion, or theory; and
 - C. Borrows facts, statistics, or other illustrative material-unless the information is common knowledge.
- IV. **Interference** – A student must not steal, change, destroy, or impede another student’s work. Impeding another student’s work includes, but is not limited to, the theft, defacement, or mutilation of common resources so as to deprive others of the information they contain.
- V. **Facilitating Academic Dishonesty** – A student must not intentionally help or attempt to help another commit an act of academic dishonesty.

8.14.1 PROCEDURES AND PENALTIES FOR ACADEMIC DISHONESTY

All cases of academic dishonesty shall be reported by the instructor to the Chairperson of the department in which the academic dishonesty occurred, and if necessary, to the appropriate School Dean/Area Director and to the Executive Vice President and Provost.

If the faculty member finds a student guilty of academic dishonesty, the faculty member shall recommend a penalty. Penalty for academic dishonesty on examinations and major course requirements may include one of the following:

- A. A grade of “F” on the examination or project.
- B. A grade of “F” on the examination or project and dismissal from the course.
- C. A grade of “F” on the examination or project, dismissal from the course and from the University.

Less severe penalties may be recommended for minor violations at the discretion of the instructor.

No penalty shall be imposed until the student has been informed of the charge by the appropriate faculty member and of the evidence upon which it is based and has been given an opportunity to present his/her defense. If the faculty member and the student cannot agree on the facts pertaining to the charge, or if the student wishes to appeal a penalty, the issue may be taken to the Department Chairperson. Each party will present his/her case to the Chairperson, who shall then call a meeting of all involved parties. If the issue is not resolved at the departmental level, the School/College Dean shall conduct a hearing. If the issue is not resolved at the school/college level, either party may appeal the decision to the Executive Vice President and Provost, who shall convene the appropriate individuals and conduct a hearing in order to resolve the issue. The Executive Vice President and Provost’s decision is final.

*Portions of this policy are taken from the “Policy on Academic Dishonesty,” Bloomington Campus of Indiana University, Circular B43-84, p. 31.

8.15 TEXTBOOKS

Textbook orders should be submitted by faculty to the School Dean on or before the established deadline for the forthcoming academic year. Book orders are not to be changed after submission to the University’s Collegiate Bookstore. The deadline for textbook orders will be noted on the annual Administrative Calendar. Textbooks should not be approved nor ordered after

the designated date. New faculty are expected to use previously ordered texts. Faculty members should not sell books purchased at other bookstores to students enrolled in their courses.

8.16 SCHOOL, DIVISION AND DEPARTMENTAL MEETINGS

Departmental and school/divisional meetings are normally scheduled by the Chairperson and Dean/Director, respectively. Each department and school shall be expected to hold regularly scheduled faculty meetings. Faculty members are expected to attend these meetings unless otherwise excused. A permanent record of meetings shall be kept in the departmental and school/division files along with the minutes. These minutes shall be available to faculty members.

8.17 FACULTY MEETINGS

As part of the contractual agreement, all faculty members are expected to attend departmental, school, and University faculty meetings. When unable to attend, the individual should inform the Chairperson or Dean and the Office of the Executive Vice President and Provost.

8.18 FACULTY WORKLOAD/ CONTACT HOURS

Individual conferences with students are an important part of instruction. A minimum of 30 hours per week should be scheduled for this purpose. During the fall and spring semesters, faculty must spend a minimum of 30 hours per week for this purpose either in class, on-campus, and/or at other off-campus official educational activities. The minimum hours will be monitored by recording time spent on the Faculty Workload/Contact Hours Form. (Refer to Faculty Workload/Contact Form, Appendix O.) Faculty are required to post and to include office hours on all course syllabi, and to be available to students during such hours. Each faculty member's schedule of office hours must be posted and filed with, and approved by, the Department Chairperson and the School Dean/Area Director. (Refer to Duties of Faculty, Section 3.9.)

8.19 PARTICIPATION IN MAJOR COLLEGE ACTIVITIES

As part of the contractual agreement, faculty members are required to participate in major college events including the educational staff institutes and all meetings of the faculty, Convocation, Founder's Day, Parents Weekend, and Commencement. Forms for an excused absence may be secured from the University's website.

8.20 OVERLOAD COMPENSATION

A faculty member who has a full teaching load may teach (an) extra course(s) or provide additional services on an overload basis. The "Chairperson/Dean Authorization to Hire Overload Faculty" form must be completed prior to assigning the course(s). Compensation for teaching extra course(s) on an overload basis will be made to the faculty member in accordance with the University's pay scale for overload.

In order to receive overload payment, the faculty member must meet the SSHU requirement for his/her department and possess a full teaching load of 12 credit hours. If a faculty member's course load contains several classes with low enrollment and the overload request contains several classes with high enrollment, the faculty member will be paid at the overload rate for the low enrollment classes. The rule also applies to credit hours. Thus, the credit hour in which the majority of students are enrolled is used or the average hours in which all students are enrolled is used, whichever is less. The responsibility of teaching assignments rests with the Department Chairperson.

8.21 RELEASED TIME FOR RESEARCH AND GRANT ACTIVITIES

It is generally expected that regular-teaching faculty members should not devote more than fifty (50%) percent of their time during the academic year to special projects, research, or other non-teaching duties. However, special permission shall be required from the Executive Vice

President and Provost for those who will go beyond the time limitation expressed in the policy. Compensation for consultant services at a remote location shall be allowable and shall not exceed one day per week during the academic year.

8.22 SUMMER SESSION PAY SCALE

Each full-load faculty member teaching during the Summer Session is paid a salary approved by the University President and the Board of Trustees. Salaries for instructors who do not teach a full load, but who have one or two classes that meet the enrollment qualifications, will be prorated accordingly. Those persons on individual grants (external funds) may be paid according to the salary stipulated in the grant, up to 1/3 of the academic year salary. The University does not match retirement benefits during the summer.

8.23 CHANGING TIME AND PLACE OF CLASSES

Faculty may not combine sections of a class, add or eliminate a course, or change the scheduled time and place of class meetings, without the approval of the Department Chairperson, the School Dean/Area Director, and the Registrar. During the Summer Session, approval by the Director of Summer Session is needed for the modification of courses and schedules.

8.24 END-OF-YEAR CLEARANCE

To receive salary checks for the months of May, June, and July, each faculty member, at the close of the academic year, is required to submit a clearance sheet to the Office of the Executive Vice President and Provost. If an academic appointee is terminated, or, if the individual resigns, the last monthly payment is held for a period of up to thirty days after departure from the campus to permit clearance of all personal obligations through the Business Office.

8.25 EXTERNAL EMPLOYMENT

External employment is defined as a faculty member's participation for financial gain by means of any job, private business, or in the conduct of any profession during the specific starting and ending dates as stated in the faculty member's contract.

External employment must be approved by appropriate administrators. The "Request for Approval of Outside Employment" form must be filed prior to engaging in any external employment. This form may be secured from the Chairperson or immediate supervisor. Failure to submit request for approval shall lead to censure or dismissal.

Faculty members may be called upon to assist outside agencies, firms, or individuals in connection with matters within their area of professional competence during periods in which they are employed full-time by the University. Such consulting arrangements are encouraged by the University and may be sought out and entered into by faculty members provided that:

1. The assistance provided is not part of their normal responsibility to the University;
2. The work undertaken contributes to their professional development and/or to the benefit of the University;
3. The work can be accomplished without interference with their assigned duties and does not involve more than one day per week, nor exceed five days in any five week period and;
4. University resources and facilities are not involved.

8.26 SHORT LEAVE

Short leave forms may be secured from the University's website. Faculty should submit the completed form to the appropriate offices in advance in order to receive approval for absences of any cause, e.g., vacation, personal, health, and other reasons.

8.27 APPROVAL FOR STUDENTS TO TAKE UNDERGRADUATE COURSES AT ANOTHER INSTITUTION

Approval to take courses at another institution should be part of the advising and counseling process within each department and school. Each discipline should define clearly those courses which must be taken at Hampton University. Only under special circumstances, and with a letter of approval from the students' Chairperson and School Dean, will exceptions be made.

Approval to take courses at another institution shall be granted by the Chairperson and appropriate Dean. The Dean of the school serves as the final authority in granting or denying approval to take future courses elsewhere for undergraduate students. A copy of the form should be filed with the office of the School Dean (student's major), the Registrar, and the Department Chairperson. A copy should also be maintained by the student.

PART IX

UNIVERSITY GOVERNANCE

9.0 UNIVERSITY COMMITTEE STRUCTURE

The University seeks to encourage the active participation of professional personnel through the committee structure. Through the committee structure, individuals representing the broad spectrum of the University have an opportunity to participate in the governance process.

Committees are an integral part of the governance structure of Hampton University and academic personnel are expected to serve in order to fulfill contractual obligations. Committees are designated through the Faculty Statutes, and the Executive Vice President and Provost with the approval of the President. Deans and Chairpersons also appoint committees appropriate to carry out the functions within their respective schools and departments.

9.1 THE GRADUATE COLLEGE AND GRADUATE COUNCIL

The Graduate College is an administrative unit which interfaces with other units of the University in the offering of advanced degrees. Each unit offering graduate programs is responsible for selecting appropriate faculty, evaluating the quality of the offerings, and monitoring the progress of graduate students in collaboration with the Dean of the Graduate College. The Graduate Council has the responsibility for establishing and recommending to the Administrative Council standards and regulations for students and faculty in the Graduate College.

9.2 COMMITTEE ORGANIZATION

A. At-large members are nominated by the Committee on Committees and voted upon by the full faculty. The other members are selected by their respective schools or appropriate units.

B. Prior to the last spring faculty meeting, the Office of the Executive Vice President and Provost shall call a meeting of each standing committee for the purpose of electing committee officers.

C. Membership on all committees shall be for staggered terms.

9.2.1 STANDING FACULTY COMMITTEES

- Advisory Committee on the Libraries and Informational Services
- Committee on Academic Personnel
- Committee on Admissions
- Committee on Athletics
- Committee on Board Relationships
- Committee on the Bookstore
- Committee on Committees
- Committee on Faculty Research
- Long Range Planning Council
- Committee on the Instructional Program
- Liaison Committee with the President
- Committee on Scholarship Standards
- University Judiciary Board

9.3 TERM OF OFFICE

A term of office is a maximum of three years. Terms may be staggered from one to three years (except where individuals serve by virtue of their position).

9.4 NOMINATION AND ELECTION TO STANDING COMMITTEES

Nominations for elected faculty positions to standing committees (unless otherwise exempted) shall be prepared by the Committee on Committees. Persons elected to standing committees shall be limited to one term, unless membership on the committee is by nature of the position. Faculty members will serve on one standing committee at a time (unless otherwise indicated).

9.5 ELECTION TO STANDING COMMITTEES BY SCHOOLS

Representation by each school/college is necessary for such broad-based committees as Scholarship Standards, Committee on Admissions, Committee on Faculty Research, Committee on Board Relationships, Long Range Planning Council, Committee on the Instructional Program, Committee on Academic Personnel, Advisory Committee on the Libraries and Informational Services, University Judiciary Board, Committee on Athletics, Committee on the Bookstore, Committee on Committees, and Liaison Committee with the President. Individuals elected by their school shall not be voted upon by the faculty at-large. The Executive Vice President and Provost serves in an ex-officio capacity on all standing committees and as a full member on other committees where stipulated in the Hampton University faculty bylaws.

9.6 TERMS OF COMMITTEE CHAIRPERSONS

Each Chairperson will be elected for a one-year term and may serve a maximum of three consecutive years as Chairperson unless otherwise stipulated by the nature of the position. The Chairperson of each committee retains the position until the new Chairperson is elected. Committee Annual Reports are due at the May faculty meeting.

PART X

BUSINESS REGULATIONS

10.0 TRAVEL POLICY OVERVIEW

The Travel Policy applies to all official Hampton University travel, including travel funded under federal grants and contracts. All official University travel shall be properly authorized, reported, and reimbursed. It is the traveler's responsibility to report his or her actual travel expenses in a responsible and ethical manner. Any funds advanced for travel will be charged to the traveler's account and will be outstanding until the travel expense form is completed, approved, and reconciled by the Business Office. Travelers will complete one or more of the following form(s), which can be retrieved from the University's website:

1. Application for Advance of Money for Purpose of Travel.
2. Travel Expense Voucher.
3. Purchasing Requisition Form.

10.1 APPLICATION FOR ADVANCE OF MONEY FOR PURPOSE OF TRAVEL

Requests for an advance of money for travel related to official University business must be approved by the appropriate budget executive. After the request is approved, it must be submitted to the Office of the Vice President for Business Affairs and Treasurer at least 48 hours prior to the day the funds are needed. All employees traveling on official University business are automatically covered by travel insurance.

Funds advanced for travel may be used to cover taxi and limousine services, bus fare, mileage, tolls, meals, lodging, and registration. Travel funds are not to be used for entertainment, alcohol, personal expenses or gratuities. Limousine services should be used for travel to and from

airports only. The cost of meals shall not exceed the established rate. Receipts supporting the expenditure of the meal allowance must be attached and submitted to the Business Office. The time of departure from and return to the home base should be noted on both the application for advance form and the travel expense voucher. Information on current rates of travel is available in the Office of the Vice President for Business Affairs and Treasurer.

10.2 TRAVEL EXPENSE VOUCHER

Upon completing travel, the travel report must be submitted to the appropriate budget executive for approval within 48 hours after returning from the trip and submitted to the Business Office. This report reflects how the funds advanced were utilized. Any unused funds must be returned at that time. An advance of funds for future travel will not be approved until a travel expense voucher on any prior trip has been received in the office of the Vice President for Business Affairs and Treasurer. The University reserves the right to charge unreported advances for travel to the employee's personal account.

10.3 LODGING

The cost of lodging shall be allowed at the single-room rate for commercial establishments. Lodging in non-commercial facilities will be allowed at the minimal rate listed in the completed travel policy.

10.4 CAR RENTAL

Expenses for a car rental will not be allowed unless approved prior to travel and advance reservations should be made by the Vice President for Business Affairs and Treasurer. In cases of an emergency, car rental expenses must be justified in writing and submitted with a travel report.

10.5 TRANSPORTATION EXPENSES

The University owns only a limited number of vans, automobiles, station wagons and buses. Whenever it is more convenient to travel by automobile, University employees are encouraged to use their private vehicles if it is less expensive than using alternatives, particularly where the distance is 200 miles or less. When two or more persons are attending the same conference, they should travel together by automobile. The University will reimburse for the trip at the rate established per mile, plus toll charges, but not in an aggregate amount that would exceed coach-rate airplane fare plus limousine services.

10.6 PUBLIC TRANSPORTATION

The purchasing of airline and train tickets is processed through the Purchasing Office. All faculty must forward an approved requisition to the Purchasing Office in order to procure travel tickets. Requisitions must include the time and date of departure, the time and date of return, the destination, and the name of the individual traveling.

10.7 PURCHASE OF MATERIALS OR SUPPLIES

The purchase of materials of supplies with travel funds is not allowed unless approved by the Vice President for Business Affairs and Treasurer. Individuals are urged to justify such needs prior to travel.

10.8 CONSULTANTS, LECTURERS, AND PROSPECTIVE EMPLOYEES

Departments wishing to invite consultants, lecturers, and prospective employees to the University must use the following procedures:

1. Prepare a requisition for the travel ticket.
2. Prepare a requisition for hotel lodging only.

3. Prepare a requisition for reimbursement to the visitor for expenses incurred for food, honorarium, and miscellaneous expenses. (Receipts must accompany the requisition).

NOTE: This procedure must be followed whether using University or external funds.

PART XI

EMPLOYEE BENEFITS

11.0 BENEFITS OPEN ENROLLMENT PERIOD

Each fall, usually during the first week of October, the Office of Human Resources conducts a benefits open enrollment period. The purpose of this period is to permit employees to sign-up or change healthcare, dental along with any other insurance benefit plans. Representatives from all of the organizations that provide University benefits are present during this period along with members of the Office of Human Resources to assist with signing up and providing benefit information to employees. This is normally the only time an employee can change his or her health and dental care service plans without meeting certain qualifying events. An employee should contact the Office of Human Resources if he or she has questions about these exclusions.

11.1 HEALTHCARE INSURANCE PLAN

Upon completion of 30 calendar days of continuous employment, but no more than 60 calendar days with the University, Full-time Employees and Part-time Employees (and their dependents) who work at least 20 hours per week are entitled to participate in one of the University's group hospitalization and major medical insurance plans. Applications will not be accepted after this 60 day deadline until open enrollment unless there is a qualifying event. Additionally, coverage will be effective on the first day of the month provided the employee meets the eligibility requirements during this period to enroll in the plan. This policy applies unless the employee experiences a qualifying event in accordance with the Health Insurance Portability and Accountability Act of 1996 that entitles the employee to a special enrollment period. The special enrollment is a period of thirty (30) days following the occurrence of a qualifying event. The University reserves the right to modify coverage at any time without notice. Contact the Office of

Human Resources concerning the cost and options of this benefit. Upon a termination of employment or reduction in hours of work that make an employee and eligible dependents no longer eligible to participate in the group health plans, the University will advise the employee and their dependents of their then existing rights to continued health care coverage in accordance with the provisions of the Consolidated Omnibus Budget Reconciliation Act of 1986 (COBRA).

11.2 DENTAL INSURANCE

Upon completion of 30 calendar days of continuous employment, but no more than 60 calendar days with the University, dental insurance is available to Full-time employee and part-time employees (and their dependents) who work at least 20 hours per week. Applications will not be accepted after this 60 day deadline until open enrollment unless there is a qualifying event. Coverage is available at the employee's expense. Upon a termination of employment or reduction in hours of work that make an employee and eligible dependents no longer eligible to participate in the group dental plans, the University will advise the employee and his/her dependents of their then existing rights to continued dental care coverage in accordance with the provisions of the Consolidated Omnibus Budget Reconciliation Act of 1986 (COBRA). Please contact the Office of Human Resources concerning the cost and options of this benefit.

11.3 403(B) RETIREMENT PLAN (TIAA-CREF)

Full-time and part-time employees are eligible to participate in the 403(b) Retirement Plan sponsored by the University. Details concerning other terms and conditions of the Plan, including entry dates, salary deferral elections and employer contributions, are contained in the Summary Plan Description (SPD) and any Summary Material Modifications (SMM). The terms of the summary plan description govern the employee's rights under the Plan.

11.4 GROUP TERM LIFE AND ACCIDENTAL DEATH AND DISMEMBERMENT INSURANCE

Employees who enroll in the Healthcare Plan are automatically enrolled in the Group Term Life and Accidental Death & Dismemberment (AD&D) Insurance plan. Benefits of this coverage are \$30,000 Term Life and \$30,000 AD&D per employee, \$5,000 per dependent spouse, \$2,500 per dependent child who are covered under the healthcare plan. The University pays the entire cost for this insurance. The Term Life and AD&D benefits are cancelled when the employee is no longer a member of the health insurance plan or the employee's employment terminates with the University.

11.5 OTHER SUPPLEMENTAL FORMS OF LIFE INSURANCE (TERM OR PERMANENT)

Employees may purchase other supplemental forms of life insurance for family and estate protection. Life insurance benefits are portable at the time his/her employment terminates with the University.

For further details regarding life insurance benefits, employees should consult the summary plan descriptions or contact the Office of Human Resources. The terms of the summary plan description govern the employee's rights under the Plans.

11.6 SHORT TERM DISABILITY

Short Term Disability Insurance is available to employees classified as Full-time employees who meet the eligibility requirements at the employee's expense. Part-time employees who regularly work at least 20 hours per week may be eligible for short term disability insurance. If a full-time employee or part-time employee who regularly works at least 20 hours per week is absent from his/her duties because of a temporary disability, he/she, after completing an elimination period of 7 days, shall be entitled to paid leave for up to 90 days at 60% of their rate

of pay per week. A temporary disability includes both mental and physical impairments which are anticipated to last for not more than a few months, and from which complete recovery is anticipated, including short term illnesses, injuries, surgeries (elective or non-elective), pregnancy and childbirth. A medical certification from a physician acceptable to the University shall be required in order for an employee to be entitled to the leave. Further, the University, at its sole discretion, prior to allowing an employee to return to work, may require the employee to provide medical certification from a physician acceptable to the University, certifying that the employee is ready to return to work and qualified to perform the essential functions of the job.

11.7 LONG TERM DISABILITY INSURANCE

Employees classified as Full-time employees who meet the eligibility requirements are entitled to receive the University's long term disability insurance. Part-time employees who regularly work at least 20 hours per week may be eligible for long term disability insurance. The cost of the coverage is shared between the employee and the University. Under this program, employees who are disabled for more than 90 days because of injury or sickness (in accordance with the definition of "disability" specified in the Summary Plan Description regarding long-term disability and the master insurance contract) are eligible to receive a benefit of 60% of their regular rate of pay per month. Benefits will continue for as long as the qualifying disability continues in accordance with the maximum benefit periods specified in the Summary Plan Description and master insurance contract. For further details regarding long-term disability coverage, the employee should consult the Summary Plan Description or contact the Office of Human Resources. The terms of the summary plan description govern the employee's rights under the Plan.

11.8 ON THE JOB INJURIES/WORKERS' COMPENSATION

Employees who experience and properly report injuries by accident or occupational disease, as defined by law, that arise out of and in the course of their employment, ordinarily will be eligible for benefits under the Virginia Workers' Compensation Act, subject to the approval of the claim by the insurance company providing Workers' Compensation Insurance.

An employee is protected under the Workers' Compensation Act in the event he/she suffers a qualifying physical injury as a result of any accident incurred while on duty. The employee must report to his/her supervisor immediately following accidents or injuries of any nature incurred while on duty. Pursuant to Virginia law, failure to report the accident within 30 days could result in a denial of payment of compensation or medical benefits.

The University has a panel of doctors and medical facilities in the area that employees are required to use in case of a job-related accident. Failure to use the prescribed doctors or facilities could result in a denial of the claim by the insurance company and a refusal to pay for such medical services.

11.9 REMISSION OF TUITION

Tuition Remission is available to employees classified as full-time or part-time who regularly work at least 20 hours per week, and who wish to enroll in the University. The University will pay 60% of the cost of tuition at the University. Employees wishing to take advantage of this benefit must be employed at least one year prior to the start of the first course. The employee should complete a Remission of Tuition Application Form and submit it to the Office of the Registrar. Additionally, tuition remission for undergraduate coursework is available to dependent (natural, stepchild, or legally adopted) children of full-time employees. Remission of tuition will not be granted for more than 6 credit hours per semester (for a total of 12 credit hours each year).

Classes cannot be taken by an employee between the hours of 8:00 am -5:00 pm, Monday through Friday with no exceptions.

All employees who receive the remission of tuition benefit plan will be required to remain employed by the University for one year for each year of the remission of tuition (up to 12 credit hours) received. Employees failing to comply with these requirements will have to repay the entire amount of the benefit received. Tuition remission is not applicable to military personnel in the Department of Military Science or students in Continuing Education and Professional Studies, and HU Online. Employees should contact the Office of Human Resources for additional information and exclusions regarding the Tuition Remission policy.

PART XII

PROPERTY MANAGEMENT AND UNIVERSITY SERVICES

12.0 PROPERTY MANAGEMENT AND UNIVERSITY SERVICES

Hampton University seeks to enhance its academic mission through the maintenance of a cadre of qualified persons who provide educational support services and management institutional property. Educational support service personnel reports to the Vice President for Business Affairs and Treasurer.

12.1 CHARGE PRIVILEGE

Faculty members have the privilege of opening a charge account in the Business Office for purchases made from University departments and auxiliary units. Unless paid by the 15th of the month, the amount charged to the account for a month is deducted from the salary payment made at the end of the following month.

12.2 PAYMENT OF SALARIES

Salary checks are made available in Mail Services on the last working day of each month by 12 noon. Whenever the last day of the month falls on a Saturday or Sunday, the checks are made available in Mail Services by 12 noon on the preceding Friday.

12.3 CONTINUING CONTRACTS

Contracts for continuing academic personnel are generally tendered for nine (9) month appointments, no later than May 1 of each academic year. In order for the contractual offer to remain valid, the signed contract must be returned to the Office of the President within ten (10) days from the date on the contract.

12.4 WITHHOLDING TAXES AND OTHER DEDUCTIONS

Deductions for federal income, social security, and state taxes are withheld from monthly salary payments in accordance with regulations of the federal government and the Commonwealth of Virginia. Certification forms for dependents of faculty and staff are made available to each new employee at the time of the signing of the contract for employment. These certifications are used as a basis for deduction of federal and state income taxes.

12.5 BUDGETS FOR ACADEMIC UNITS

College/School and departmental budget requests are submitted annually to the Executive Vice President and Provost by the respective unit heads on forms provided by the Vice President for Business Affairs and Treasurer. After consultation with these individuals, the Executive Vice President and Provost and the Vice President for Business Affairs and Treasurer have the option of making any necessary adjustments.

12.6 DIRECTOR OF PHYSICAL PLANT, BUILDINGS AND GROUNDS

The mission of the Physical Plant is to enhance the learning environment of the University through high quality services and wise stewardship of its facilities, grounds and utilities. The Director reports to the Vice President for Business Affairs and Treasurer and is responsible for all buildings and grounds maintenance, steam generation and distribution, utility distribution, trash removal, vehicle services and custodial services including all classroom buildings, administrative office buildings, and educational support facilities. Custodial services are also provided for residence halls, with the exception of rooms occupied by students and staff members.

12.7 CUSTODIAL SERVICES

Complete custodial services are provided for all academic buildings, administrative offices, and other educational support facilities. Custodial services are also provided in the residence halls for all areas with the exception of the rooms occupied by students and staff members.

12.8 DIRECTOR OF AUXILIARY ENTERPRISES AND OTHER SERVICES

The Director of Auxiliary Enterprises and Other Services is responsible for food services, the Collegiate Bookstore, Mail Services, property, liability insurance, the University Cleaners, the Hampton Harbor Shops, the Hampton Harbor Apartments and Telephone Services.

12.9 DIRECTOR OF PURCHASING

The Director of Purchasing is responsible for areas of procurement, receiving and shipping of goods and materials, trucking services and deliveries, central warehouse, and general furniture. This individual reports to the Vice President for Business Affairs and Treasurer. The Director of Purchasing has the responsibility for the procurement of all materials, equipment, supplies, and services necessary to support the various departments and schools of Hampton University. All requests for services and supplies are prepared on the standard requisition form which originates in the departmental office. When completed, approved, and signed by the appropriate Dean, Director, or department head, purchase requisitions are submitted to the Director of Purchasing. Requisitions for purchasing should be submitted at least thirty days prior to the date on which the items or services to be purchased are needed. When orders for materials and equipment are received, they should be checked immediately by the unit head. Additional detailed information

may be secured by referring to the “Purchasing Policies and Procedures Manual” available in each departmental office.

12.10 DIRECTOR OF CAMPUS SAFETY

The Director of Campus Safety is responsible for directing a program of police operations, campus security and safety, fire protection, traffic control, and parking. In case of emergency, the University Police should be contacted at 727-5666. The Director reports to the Vice President for Business Affairs and Treasurer.

12.11 UNIVERSITY POLICE

The University Police, located in Whipple Barn, operate on a 24 hour a day schedule. All members of the University’s police force are sworn police officers and have full police power, equivalent to that of any other law enforcement officer in the Commonwealth of Virginia. The University Police serve the general welfare and safety of the entire University Community.

12.12 BUSINESS OFFICE

The Business Office provides a number of services to Hampton University that is directly related to the professional welfare of the individual faculty member and to academic activities. It is most important that faculty understand and follow, at all times, certain procedures which have been developed to allow an orderly transaction of business between faculty and the University.

12.12.1 MAIL SERVICES

The University has on-campus mail services for the convenience of students, faculty, and staff. Services include sending certified and regular mail for a fee, and receiving United States Postal Service parcels as well as sending mail within the campus free of charge. All personal mail sent through Mail Services requires the appropriate amount of postage as regulated by the United States Postal Service.

12.12.2 TELEPHONE SERVICES

The telephone services on-campus utilize Cox Communications local services and AT&T long distance services. These services allow each principal office to receive calls directly from the outside and to make local calls to the outside by dialing “9” and the number. All long distance calls must relate to official business of Hampton University. Personal long distance calls may be made in cases of extreme emergency. Please contact the Office of Telecommunications for the cost of the telephone call. The caller should then pay for the call at the Cashier’s Office.

12.12.3 COLLEGIATE BOOKSTORE

The main purpose of the Collegiate Bookstore is to provide textbooks, teaching and office supplies to students, faculty and staff. The Collegiate Bookstore also offers articles, such as books, cosmetics, toiletries, jewelry, souvenirs, and gifts.

12.12.4 KATHARINE HOUSE

Katharine House, given by a generous donor to be used by faculty and staff, is maintained by the University and is available for University activities. It can also be rented by individuals for special occasions. All employees are urged to make use of this facility.

12.12.5 PARKING

Special parking zones for faculty and staff are located throughout the campus. All faculty are required to register vehicles that they drive on-campus with the University’s Police Department. This office issues vehicle stickers to distinguish appropriate parking zones for faculty, staff and students.

12.12.6 IDENTIFICATION CARDS

Identification cards are issued by the University's Police Department to all employees. Presentation of ID Cards is usually required of employees when attending a campus event at reduced ticket rate, when requesting charge privileges at various auxiliary enterprise units, when requesting cashiering services, and when requesting library privileges.

12.12.7 OFFICE SERVICES

Office Services provides color and black and white copying for all University constituencies. In addition to copying services, this office also provides services such as printing, faxing, binding, folding, addressing and collating in preparation of documents for presentations.

12.12.8 ATHLETICS

Employees are urged to attend the intercollegiate athletic contests that occur during the school year. Season tickets at reduced rates are available to employees who wish to purchase them. These tickets may be purchased at the Cashier's Window in the Business Office or at the Convocation Center.

12.12.9 MUSICAL ARTS

The Musical Arts Society Series features some of the finest talents available, including symphony orchestras, operas, ballets, vocal and instrumental soloists. All employees are eligible to purchase season tickets at reduced rates when available. These tickets may be purchased at the Cashier's Window in the Business Office or at the Convocation Center.

12.13 UNIVERSITY LIBRARY SYSTEM

12.13.1 WILLIAM R. AND NORMA B. HARVEY LIBRARY

The William R. and Norma B. Harvey Library supports the instructional, research and service needs of the Hampton University community by delivering information, services, and literature, essential for academic excellence, leadership and lifelong learning. The library provides access to an extensive collection of monographs, periodicals, audiovisual materials, and microforms. The collection of electronic resources consists of e-books, e-journals, databases, and indices. The George Foster Peabody Room houses several special collections including a collection of materials supporting African American Studies, a collection of rare books, and the 2008 Presidential Election Collection.

The librarians provide research assistance through reference services and research consultations. The librarians also teach information literacy classes that are designed to foster the development of students' ability to seek, evaluate, analyze and use information.

Academic personnel should contact the librarians relative to procedures for requesting resources, placing materials on reserve, locating resources, arranging information literacy classes and accessing instructional materials in support of teaching, learning and research.

12.14 THE UNIVERSITY MUSEUM

The Hampton University Museum is a cultural treasure of national and international renown. The Museum houses diverse collections of art and artifacts representing cultures from Africa, Asia, Melanesia and the Americas. The Museum's African American fine art and Native American collections have few rivals in any American museums. The Museum offers permanent and changing exhibitions from its own collections, loans and traveling exhibitions from other

institutions and from individual artists. The Museum offers lectures and programs for University classes as well as for the public audiences.

12.14.1 HAMPTON UNIVERSITY ARCHIVES

The Hampton University Archives, housed within the Museum in the Huntington Building, is a repository for over nine million archival items. The archival collection includes the official University documents, the private papers and correspondence of many individuals associated with the history of Hampton and over 60,000 photographs. With 136 separate indexes Hampton's archives are utilized by students and scholars from around the world. The Archives' hours of operation are 8:00 a.m. to 4:45 p.m. Monday through Friday.

12.15 THE CHILD DEVELOPMENT CENTER

The Child Development Center admits two to four year old children of faculty, staff and the community for day care services. Additional information and application forms can be obtained from the Child Development Center Office located in Eva C. Mitchell Hall.

12.16 SPEECH-LANGUAGE-HEARING CLINIC

Open to all members of the University and greater Hampton community, the Speech, Language and Hearing Clinic is equipped to diagnose speech, language and hearing disorders and to treat special problems such as hearing loss, stuttering, articulation, and voice problems. The Clinic, operated by the Department of Communicative Sciences and Disorders, is located in Room 223, Science and Technology Building. For additional information, contact the Department of Communicative Sciences and Disorders.

12.17 EDUCATION ADVISING AND ASSESSMENT CENTER (EAAC)

The Education Advising and Assessment Center (EAAC) provides assistance to undergraduate and graduate students seeking a license to teach in the State of Virginia or aiming

to become certified support personnel in education. Students are provided access to an array of resources to include the latest in test preparation for the Praxis Core Academic Skills Test for Educators, the Reading for Virginia Educators (RVE) Examination, the Virginia Communication and Literacy Assessment (VCLA), the Praxis Elementary Education: Content Knowledge (CKT) Test, the Praxis Subject Assessments, and the National Counselor Exam (NCE). Diagnostic assessments are conducted to assess students' strengths and weaknesses, to ensure differentiation of instruction, and to meet the targeted needs of students. The Center is also open to non-education majors who are preparing for the Graduate Record Examination (GRE). The Center is located in Phenix Hall, Room 302.

12.18 WRITING/TECHNOLOGY LABORATORY

Staffed by instructors and student tutors from the Department of English and Foreign Languages, the Writing/Technology Laboratory seeks to meet the writing needs of the University community by providing one-on-one tutorial assistance in drafting, revising, and editing papers. The Laboratory also conducts small-group workshops and lectures on common writing concerns such as the research process, grammar and punctuation skills, resume writing, technical writing, and word processing. The Laboratory contains computers, printers, and software to assist students in the composing process. For consultations and/or tutoring, please contact the Writing/Technology Laboratory in Armstrong Hall, Room 240.

PART XIII

HOLIDAYS, VACATIONS AND MISCELLANEOUS LEAVES

13.0 HOLIDAYS, VACATIONS AND MISCELLANEOUS LEAVES

Policies governing leaves for educational advancement are given in Section VII. Other leaves available to academic personnel are presented in this section.

13.1 HOLIDAYS

The University recognizes certain holidays. Therefore, the University will be closed for business on the following days:

New Year's Day	Thanksgiving Day
Martin Luther King, Jr. Day	Friday after Thanksgiving Day
Memorial Day	Christmas
Independence Day	Friday during Spring break, as
Labor Day	designated by the University.

If a holiday falls on a Sunday, the University will be closed on the following Monday. If a holiday falls on a Saturday, the University will be closed on the preceding Friday. When a holiday falls on Saturday or Sunday, faculty normally not required to work Saturday and Sunday will observe the holiday the following Monday, or another day designated by the University. When a holiday falls on Saturday or Sunday, employees regularly scheduled to work on Saturday or Sunday will receive a paid holiday allowance. Holidays will be considered as hours worked. Additional days off, such as those resulting from the closing of the University for the Christmas season, are not holidays.

13.2 ADHERENCE TO COLLEGE SCHEDULES DESPITE RELIGIOUS BELIEFS

Hampton University is a nondenominational college and respects the right of its constituents—students, faculty and staff—to worship in accordance with their beliefs. However, it is the policy of Hampton University to adhere to the class and work schedules of Hampton University. Faculty in need of an accommodation of their religious beliefs must make a request for an accommodation to the Office of the Executive Vice President and Provost.

13.3 ANNUAL LEAVE

Employees classified as full-time employees begin accruing vacation time off when the employee is paid for at least 11 days. All twelve month academic and administrative employees are entitled to 20 working days of annual leave. Part-time employees accrue vacation on a pro rata basis of hours worked compared to the regular University work schedule.

Employees must submit vacation requests to their immediate supervisor and Office of Human Resources as far in advance as possible. Employees are required to take their earned vacation. No payments will be made in lieu of taking vacation. Employees will not be allowed to use vacation pay as compensation for an unexcused absence. Annual leave can only be taken in eight-hour increments.

Employees will be paid for any accrued, unused vacation time upon termination of employment. Unused vacation time may not be used as a notice period. For example, when notice of resignation is given, the notice must be a working notice. Vacation can be taken to extend sick leave, but sick leave cannot be used to extend a vacation unless the employee provides verification of an illness or medical disability giving rise to the need to use sick leave. Employees working on grants are required to take accumulated vacation leave during the grant budget period or they lose the time accrued at the end of the grant budget period.

13.4 SICK LEAVE

Employees classified as full-time employees with less than one year of employment shall accrue sick leave at the rate of one day per month until they have completed one University fiscal year. Employees who have completed at least one year of service shall accrue 12 days (96 hours) per year, on July 1 of each year. All part-time employees accrue sick leave on a pro rata basis of hours worked compared to the regular University work schedule. All unused sick leave shall be forfeited on June 30 of each year. Further, employees are not entitled to receive pay for unused sick leave. All sick leave absences for hourly employees must be recorded on the employee's time record showing the "reason" (i.e., personal illness). Absences of less than a full day will be recorded in hourly increments and rounded to the next hour.

Sick leave balances are canceled, without compensation, when an employee resigns or is terminated for any reason. Employees claiming sick leave must notify their immediate supervisor before the workday begins on the day claimed for sick leave or as soon as possible.

13.5 FAMILY AND MEDICAL LEAVE

In accordance with the Family and Medical Leave Act of 1993 ("FMLA") as amended, employees who have been employed for at least one year, and for at least 1,250 hours during the preceding 12-month period, and are employed at a work site where the University employs at least 50 or more employees within a 75-mile radius of that work site, are eligible for Family and Medical Leave, Servicemember Family Leave, and Qualifying Exigency Leave (collectively referred to as "FMLA Leave"). For employees not eligible for FMLA Leave, the University will review business considerations and the individual circumstances involved. Except for those employees designated as "key employees," employees on FMLA Leave will be returned to the same or to an equivalent position. FMLA Leave will consist of appropriate accrued paid leave and unpaid leave. If leave is requested for an employee's own serious health condition or the birth of a child involving an

employee's own serious health condition, the employee must use all of his or her accrued paid sick leave. If leave is requested for any of the other reasons listed in this section, an employee may use his or her accrued paid vacation leave. The remainder of the leave period will then consist of unpaid leave.

13.5.1 DEFINITIONS

The **“12-month Period”** is defined, for purposes of Family Leave, Medical Leave, and Qualifying Exigency Leave, as a "rolling" 12-month period measured backward from the date an Employee uses any Family Leave, Medical Leave, or Qualifying Exigency Leave. Leave used during the previous 12-month period reduces the balance available to the employee for Family Leave, Medical Leave, or Qualifying Exigency Leave.

A **“Single 12-month Period,”** for purposes of Servicemember Family Leave, begins on the first day the Employee takes leave to care for a Covered Servicemember and ends 12 months after that date. A “Single 12-month Period” applies only to Servicemember Family Leave and is distinguished from the 12-month Period defined above for other FMLA Leave.

“Contingency Operation” means a military operation that (A) is designated by the Secretary of Defense as an operation in which members of the Armed Forces are or may become involved in military actions, operations, or hostilities against an enemy of the United States or against an opposing military force; or (B) results in the call or order to, or retention, activity duty of members of the uniformed services.

“Covered Active Duty” means (A) in the case of a member of the regular component of the Armed Forces, duty during the deployment of the member with the Armed Forces to a foreign country; and (B) in the case of a member of a Reserve component of the Armed Forces, duty during the deployment of the member with the Armed Forces to a foreign county under a call or order to

active duty in support of a Contingency Operation under a provision of law referred to in 10 U.S.C. § 101(a)(13)(B).

“Military Member” means an Employee’s Spouse, Son, Daughter, or Parent who is on Covered Active Duty or call to Covered Active Duty status.

“Covered Servicemember” means (A) a member of the Armed Forces, including a member of the National Guard or Reserves, who is undergoing medical treatment, recuperation, or therapy, is otherwise in outpatient status, or is otherwise on the temporary disability retired list, for a Serious Injury or Illness; or (B) a Covered Veteran who is undergoing medical treatment recuperation, or therapy for a Serious Injury or Illness.

“Covered Veteran” means an individual who was a member of the Armed Forces, including a member of the National Guard or Reserves, and who was discharged or released therefrom under conditions other than dishonorable at any time during the five-year period prior to the first date the eligible employee takes FMLA Leave to care for the Covered Veteran.

“Employee” as used in this FMLA Policy refers to an eligible employee who is one who has been employed at least one (1) year at the time of the request for FMLA Leave and has worked at least 1,250 hours during the previous twelve (12) months, and is employed at a worksite at which the University employs at least 50 employees within a 75-mile radius of that worksite.

A **“Family Leave”** is defined as one that is taken upon the birth of an Employee's child, upon placement with the Employee of a child for adoption or foster care, or to care for a Spouse, Son, Daughter, or Parent who has a Serious Health Condition.

A **“Key Employee”** is a salaried exempt Employee who is among the highest paid 10% of all employees employed by the University.

A **“Medical Leave”** taken pursuant to this policy is for the Employee who is unable to perform one or more of the essential functions of his or her position due to a Serious Health Condition.

“Next of Kin,” means a Covered Servicemember’s nearest blood relative, other than this Covered Servicemember’s Spouse, Son, or Daughter.

“Outpatient Status” means the status of a member of the Armed Forces assigned to a military medical treatment facility as an outpatient or a unit established for the purpose of providing command and control of members of the Armed Forces receiving medical care as outpatients.

“Parent” means a biological, adoptive, step or foster father or mother, or any other individual who stood in the place of a parent to an Employee when the Employee was a Son or Daughter as defined below. This term does not include parents-in-law.

“Qualifying Exigency” means any of the following:

(1) Short-notice deployment - Addressing issues that arise from the fact that a Military Member is notified of an impending call or order to Covered Active Duty seven or less calendar days prior to the date of deployment. Leave used for this purpose can be used for a period of seven (7) calendar days beginning on the date a Military Member is notified of an impending call or order to Covered Active Duty;

(2) Military events and related activities – Attendance of any official ceremony, program, or event sponsored by the military that is related to the Covered Active Duty or call to Covered Active Duty status of a Member; or attendance of covered family support or assistance programs and informational briefings.

(3) Childcare and school activities – Arrangement for alternative childcare under certain circumstances; provision of childcare on an urgent, immediate need basis; enrollment in or transfer to a new school or daycare facility when necessary; or attendance of meetings with staff at a school or daycare facility when necessary.

(4) Financial and legal arrangements – Making or updating various financial or legal arrangements; or acting as the Military Member’s representative before a federal, state or local agency in connection with military service benefits.

(5) Counseling – Attending counseling for the Employee, the Military Member, or for a child as a result of the Covered Active Duty or call to Covered Active Duty status.

(6) Rest and recuperation – Spending time with a Covered Servicemember who is on short-term, temporary, rest-and-recuperation leave during the period of deployment. Leave for rest and recuperation can be used for a period of 15 calendar days beginning on the date the Military Member begins each instance of rest and recuperation.

(7) Post-deployment activities – Attendance of arrival ceremonies, reintegration briefings and events, and any other official ceremony or program sponsored by the military for a period of 90 days following the termination of the Military Member’s Covered Active Duty status. This also includes addressing issues that arise from the death of a Military Member while on Covered Active Duty status.

(8) Parental Care – For parent of Military Member who is incapable of self-care: Arrangement of alternative care; provision of care on an urgent, immediate need basis; admittance in transfer to a care facility; and attendance at meetings with staff at a care facility.

(9) Additional activities – Addressing other events arising from the military duty provided that the University and the employee agree that such event qualifies as an exigency and agree to the timing and duration of the leave.

“Qualifying Exigency Leave” is defined as leave taken because of a Qualifying Exigency arising out of the fact that the Employee’s Spouse, Son, Daughter, or Parent is on Covered Active Duty or has been notified of an impending call or order to Covered Active Duty in the Armed Forces.

A **“Serious Health Condition”** is an illness, injury, impairment or physical or mental condition that requires inpatient care, or "continuing treatment by a health care provider", or one that renders the Employee unable to perform his or her job functions.

A **“Serious Injury or Illness,”** for purposes of Servicemember Family Leave, means (A) in the case of a member of the Armed Forces, National Guard, or Reserves, injury or illness that was incurred by the member in the line of duty on active duty in the Armed Forces (or existed before the beginning of the member’s active duty and was aggravated by service in line of duty on active duty in the Armed Forces) and that may render the member medically unfit to perform the duties of the member’s office, grade, rank, or rating; or (B) in the case of a Veteran who was a member of the Armed Forces, National Guard, or Reserves, a qualifying (as defined by the Secretary of Labor) injury or illness that was incurred by the member in line of duty on active duty in the Armed Forces (or existed before the beginning of the member’s active duty and was aggravated by service in line of duty on active duty in the Armed Forces) and that manifested itself before or after the member became a Veteran and that meets one of the criteria set forth in the regulations.

“Servicemember Family Leave” is defined as leave taken to care for a Spouse, Son, Daughter, Parent or Next of Kin who is a Covered Servicemember with a Serious Injury or Illness.

“Son” or “Daughter,” for purposes of FMLA Leave taken for birth or adoption, or to care for a family member with a Serious Health Condition, means a biological, adopted or foster child, a step child, a legal ward, or a child of a person standing *in loco parentis*, who is either under age 18, or age 18 or older and “incapable of self-care because of a mental or physical disability.”

“Son” or “Daughter,” for purposes of Servicemember Family Leave or Qualified Exigency Leave, means a biological, adopted or foster child, a step child, a legal ward, or a child for whom the covered Servicemember stood *in loco parentis*, and who is of any age.

“Spouse” means a husband or wife as defined or recognized under state law for purposes of marriage in the state where the employee resides, including common law marriage in states where it is recognized.

13.5.2 PAY STATUS

FMLA Leave generally will be unpaid leave. However, inasmuch as the University requires its Employees to use accrued sick leave for Medical Leave and as Employees have the option of using vacation leave for all other types of FMLA Leave, a portion of the FMLA Leave will be paid leave. Please note that use of vacation and/or sick leave is only applicable to 12 month employees. The remainder of the leave period after exhaustion of appropriate paid leave will be unpaid leave.

In the event the Employee is suffering from a Serious Health Condition that also qualifies the Employee to receive any short term disability pursuant to any Short Term Disability plan offered by the University, the period of time taken as short term disability leave will be counted against the Employee’s FMLA Leave.

In the event the Employee is qualified to receive workers compensation, then the period of time that the Employee is out of work and receiving workers compensation benefits will also count against the Employee's FMLA Leave.

13.5.3 REASONS FOR LEAVE

All Employees who meet the applicable eligibility requirements may be granted FMLA Leave, consisting of appropriate accrued paid leave and unpaid leave, for a period of twelve weeks during the applicable 12-month period for the following reasons:

- (a) the birth of the Employee's child and/or in order to care for the child;
- (b) the placement of a child with the Employee for adoption or foster care;
- (c) to care for a Spouse, Son, Daughter, or Parent who has a Serious Health Condition;
- (d) a Serious Health Condition that renders the Employee incapable of performing the functions of his or her job; or
- (e) any Qualifying Exigency arising out of the fact that the Spouse, Son, Daughter, or Parent of the Employee is on Covered Active Duty (or has been notified of an impending call or order to Covered Active Duty) in the Armed Forces.

The entitlement to leave for the birth or placement of a child for adoption or foster care will expire twelve months from the date of the birth or placement.

All Employees who meet the applicable eligibility requirements may be granted Servicemember Family Leave, consisting of appropriate accrued paid leave and unpaid leave for a period of twenty-six (26) weeks during a Single 12-month Period to care for a Covered Servicemember with a Serious Injury or Illness. To be eligible for Servicemember Family Leave,

the Employee must be the Spouse, Son, Daughter, Parent or Next of Kin of the Covered Servicemember.

During the Single 12-month Period during which an eligible Employee takes Servicemember Family Leave, an eligible Employee shall be entitled to a combined total of twenty-six (26) weeks of FMLA Leave for any of the qualified reason listed above.

Married couples employed by the University are entitled to a combined total of twelve (12) weeks of Family Leave to care for a newborn, a child placed for adoption or foster care, or to care for the Employee's Parent with a Serious Health Condition. In the event either Employee needs Medical Leave due to their own Serious Health Condition or Family Leave due to the Serious Health Condition of their Spouse, Son, or Daughter, only the hours used by that specific Employee for Family Leave as identified in (a) and (b) above will count against his or her FMLA Leave balance. Married couples are entitled to a combined total of twenty-six (26) weeks of FMLA Leave during a Single 12-month Period if the leave is Servicemember Family Leave or a combination of Servicemember Family Leave and Family Leave to care for a newborn, a child placed for adoption or foster care, or to care for the Employee's Parent with a Serious Health Condition.

13.5.4 PROCEDURE FOR REQUESTING LEAVE

In all cases, an Employee requesting leave must complete the "Hampton University Application for Leave" form and return it to the Office of Human Resources. The completed application must state the reason for the leave, the duration of the leave, and the starting and ending dates of the leave. An Employee intending to take FMLA Leave because of an expected birth or placement, because of a planned medical treatment, or because of the planned medical treatment for a Serious Injury or illness of a Covered Servicemember must submit an application for leave

at least thirty days before the leave is to begin. If an Employee fails to give such notice for foreseeable leave then the University reserves the right to deny such leave for thirty days after first receipt of notice. If leave is to begin within thirty days for unforeseeable leave, an Employee must give notice to his or her supervisor and to Office of Human Resources as soon as the necessity for the leave arises. In any case in which the need for leave for any Qualifying Exigency is foreseeable, the Employee shall provide such notice to the University as is reasonable and practicable.

13.5.5 NOTIFICATION TO EMPLOYEE

For each initial request for FMLA Leave in any twelve (12) month period in which the FMLA Leave is also taken, the University will provide the Employee written notice indicating whether Employee is eligible for FMLA Leave, and, if so, outlining the specific expectations and obligations of the employee, including whether a medical certification is required and further explaining any consequences of the employee failing to meet his or her obligations. In addition, once the University has sufficient information to determine whether the requested leave qualifies as FMLA Leave, the University will provide the Employee with a written notice indicating whether the leave request has been granted and how much leave will be counted against the employee's leave entitlement, if known, as well as indicating whether a fitness for duty exam will be required before restoration to employment.

13.5.6 MEDICAL CERTIFICATION OF LEAVE

An application for leave based on the Serious Health Condition of the Employee, the Serious Health Condition of the Employee's Spouse, Son, Daughter, or Parent must also be accompanied by a "Medical Certification Statement" completed by the applicable health care provider. The certification must state the date on which the health condition commenced, the

probable duration of the condition, and the appropriate medical facts regarding the condition. If the Employee has a Serious Health Condition, the certification must state whether the Employee is unable to perform the functions of his or her job, or unable to perform work of any kind, or must be absent from work for treatment, and whether intermittent leave or work on a reduced leave basis is required. If the Employee is needed to care for a Spouse, Son, Daughter, or Parent, the certification must so state and also provide an estimate of the amount of time the Employee will be needed. The certification must also indicate whether the Employee is needed to provide for the basic medical or physical needs or rather for psychological comfort.

Medical Certification Statements are to be submitted to the Office of Human Resources for review and final approval. When leave is foreseeable and the Employee has provided thirty (30) day notice, the medical certification should be provided before the leave begins. When this is not possible, the medical certification must be returned within fifteen (15) calendar days of the request from the University. When medical certification is necessary, the University generally will give notice of the need for the medical certification within five (5) business days of the request for leave.

The University reserves the right to request a second opinion and, if necessary, a third opinion, at the University's expense, should the validity of the initial medical certification be in question. Additionally, the University may request recertification not less than thirty (30) days or within any other minimum duration period designated by the health care provider unless the Employee requests an extension of leave, the circumstances described on the previous certification have changed significantly, or the University receives information casting doubt on the stated reason for the absence. The University shall provide the Employee fifteen (15) calendar days to

obtain the recertification, and the University will bear the costs of the recertification. Recertification is not subject to second and third opinions.

13.5.7 CERTIFICATION FOR SERVICEMEMBER FAMILY LEAVE AND QUALIFYING EXIGENCY LEAVE

An application for Servicemember Family Leave must be supported by a medical certification completed by an authorized health care provider of the Covered Servicemember. An application for Qualifying Exigency Leave must be supported by a certification containing pertinent information including, but not limited to, facts and documentation sufficient to support the need for leave, information concerning the timing and duration of leave, and appropriate contact information when necessary.

13.5.8 INTERMITTENT LEAVE

Intermittent leave to care for a Spouse, Son, Daughter, Parent or because of the Employee's own Serious Health Condition, or to care for a Covered Servicemember with a Serious Injury or Illness may be taken whenever medically necessary. Qualifying Exigency Leave may be taken on an intermittent or reduced schedule basis. Only the time actually taken as FMLA Leave may be charged against the Employee's leave balance. Intermittent requests may not be taken in increments of less than one (1) hour. Thirty (30) days advance notice is required by the Employee, where practicable, if the leave is foreseeable.

If an Employee requests intermittent leave or a reduced work schedule to care for a Spouse, Son, Daughter, or Parent who has a Serious Medical Condition, for the Employee's own Serious Health Condition or to care for a Covered Servicemember with a Serious Injury or Illness, and the need is foreseeable based on planned medical treatment, the University may temporarily transfer

the Employee to an available alternative position with equivalent pay and benefits if the position accommodates recurring periods of leave better than the Employee's regular job.

13.5.9 BENEFITS COVERAGE DURING LEAVE

During a period of FMLA Leave, an Employee will be retained on the University's health plan under the same conditions that applied before leave commenced. To continue health coverage, the Employee must continue to make any contributions that he or she made to the plan before taking leave. **Failure of the Employee to pay his or her share of the health insurance premium may result in loss of coverage.**

An Employee is not entitled to the accrual of any seniority or employment benefits based on performance that would have accrued if not for the taking of leave. An Employee who takes FMLA Leave will not lose any employment benefits that accrued before the date leave began.

13.5.10 RESTORATION TO EMPLOYMENT FOLLOWING LEAVE

An Employee eligible for FMLA Leave - with exception of those employees designated as "Key Employees" - will be restored to his or her old position or to a position with equivalent pay, benefits, and other terms and conditions of employment. The University cannot guarantee that an Employee will be returned to his or her original position. A determination as to whether a position is an "equivalent position" will be made by the University.

13.5.11 FAILURE TO RETURN FROM LEAVE

Failure to return from FMLA Leave is grounds for termination, unless an extension is requested for a general leave of absence not covered by FMLA. If such leave is granted, such leave will no longer qualify as FMLA Leave, but will be general discretionary leave subject to such guidelines as determined by the University. The Employee will have to reimburse the University for any health insurance premiums paid by the University if the Employee is terminated for failing

to return after FMLA Leave, unless Employee fails to return because: (1) the continuation, recurrence, or onset of a Serious Health Condition that would entitle Employee to FMLA Leave; or (2) other circumstances beyond employee's control.

13.6 MILITARY SERVICE

In the event that an employee provides service in the Uniform Services of the United States which requires that he or she be absent from the workplace, the University will observe strictly the requirements of the Uniformed Services Employment and Re-employment Rights Act of 1994 (USERRA), as amended, with respect to each affected employee's employment, employee benefits and reemployment following the completion of military service. It is the University's policy that no employee or prospective employee will be subjected to any form of discrimination on the basis of that person's membership in, or obligation to perform service for, any of the Uniformed Services of the United States. Specifically, no person will be denied employment, reemployment, promotion, or any other benefit of employment on the basis of such membership. Furthermore, no person will be subjected to retaliation or adverse employment action because such person has exercised his or her rights under this policy.

13.6.1 DEFINITIONS

"Uniformed Services" means the Armed Forces of the United States, the Army National Guard, and the Air National Guard when in engaged in Active Duty for training, inactive duty training, or full-time National Guard duty, the commissioned corps of the U.S. Public Health Service, an intermittent disaster-response appointee when the National Disaster Medical System (NDMS) is activated, or any other category of persons designated by the President in time of war or emergency.

"Service in the uniformed services" means the performance of duty on a voluntary or involuntary basis in a uniformed service under competent authority and includes Active Duty, Active Duty for training, initial Active Duty training, inactive duty training, full-time National Guard duty and a period for which a person is absent from a position of employment for the purpose of examination to determine the fitness of the person to perform any such duty.

“Seniority” means longevity in employment together with any benefits of employment that accrue with, or are determined by, longevity in employment.

13.6.2 REEMPLOYMENT RIGHTS

Generally, only individuals discharged under honorable conditions who were regular employees are eligible for reemployment. Under USERRA, the individual is generally required to give advance notice of the leave, be on leave for no more than five years, and reapply for reemployment within specified time frames.

13.6.3 PROCEDURES FOR MILITARY LEAVE

1. The employee will provide his or her immediate supervisor with notice (either verbal or written) that the employee will be engaging in military service. Employees are requested to provide such notice as soon as they have knowledge of upcoming military service.

2. Employees on military leave, *at their option*, may use any or all accrued paid annual leave during their absence.

3. When the employee intends to return to work, he or she must make notification of reinstatement to the Office of Human Resources within the application period set forth below.

4. If the employee does not return to work, the supervisor must notify the Office of Human Resources so that appropriate action may be taken.

13.6.4 APPLICATION FOR REEMPLOYMENT

An employee who has engaged in military service, in order to be entitled to reemployment, must submit an application for reinstatement (written or verbal) according to the following schedule:

1. *If service is less than 31 days (or for the purpose of taking an examination to determine fitness for service)* - the employee must report for reinstatement at the beginning of the first full regularly scheduled working period on the first calendar day following completion of service and the expiration of eight hours rest and after a time for safe transportation back to the employee's residence.

2. *If service is for 31 days or more but less than 180 days* - the employee must submit an application for reinstatement with Office of Human Resources no later than 14 days following the completion of service.

3. *If service is 181 days or over* - the employee must submit an application for reinstatement with the Office of Human Resources no later than 90 days following the completion of service.

4. *If the employee is hospitalized or convalescing from a service-connected injury* - the employee must submit an application for reinstatement with the Office of Human Resources no later than two years following completion of service.

13.6.5 SENIORITY-BASED BENEFITS

Individuals who are reemployed are entitled to all seniority-based benefits that the employee had at the beginning of military leave, plus any additional benefits the employee would have attained, with reasonable certainty, had the individual remained continuously employed.

13.6.6 NONSENIORITY-BASED BENEFITS

An individual returning from uniformed service is entitled to all benefits not based on seniority in the same manner as a similarly situated employee on a leave of absence or furlough would be able to accrue under other company policies. These policies are either those in effect at the time the individual left on uniformed service or those that were implemented while the employee was away.

13.6.7 HEALTH CARE

Under USERRA, employees on uniformed service leave who are enrolled in the healthcare plan have the right to elect continuation coverage similar to the rights under COBRA. Such right to continuation coverage will continue for a period of 24 months. Employees returning to work are entitled to reinstated health coverage as if they had never left.

13.6.8 REEMPLOYMENT

Upon an employee's prompt application for reinstatement, the University will reinstate the employee in the following manner depending upon the employee's period of military service:

1. For a period of 1 to 90 days:
 - A. In the position of employment in which the person would have been employed if the continuous employment of such person with the employer had not been interrupted by such service, the duties of which the person is qualified to perform; or
 - B. in the position of employment in which the person was employed on the date of the commencement of the service in the uniformed services, only if the person is not qualified to perform the duties of the position referred to in subparagraph (A) after reasonable efforts by the employer to qualify the person.
2. Ninety-one or more days:

- A. in the position of employment in which the person would have been employed if the continuous employment of such person with the employer had not been interrupted by such service, or a position of like seniority, status and pay, the duties of which the person is qualified to perform; or
 - B. in the position of employment in which the person was employed on the date of the commencement of the service in the uniformed services, or a position of like seniority, status and pay, the duties of which the person is qualified to perform, only if the person is not qualified to perform the duties of a position referred to in subparagraph (A) after reasonable efforts by the employer to qualify the person.
3. Employee with a service-connected disability:

If after reasonable accommodation efforts by the University, an employee with a service-connected disability is not qualified for employment in the position he or she would have attained or in the position that he or she left, the employee will be employed in (i) any other position of similar seniority, status and pay for which the employee is qualified or could become qualified with reasonable efforts by the Company; or (ii) if no such position exists, in the nearest approximation consistent with the circumstances of the employee's situation.

13.6.9 EXCEPTIONS TO REEMPLOYMENT

In addition to the employee's failure to apply for reemployment in a timely manner, an employee is not entitled to reinstatement as described above if any of the following conditions exist:

- 1. The University's circumstances have so changed as to make reemployment impossible or unreasonable.

2. The employee's employment prior to the military service was for a non-recurrent period and there was no reasonable expectation that the employment would have continued indefinitely or for a significant period.
3. The employee did not receive an honorable discharge from military service.

13.6.10 DOCUMENTATION

An employee's manager will, upon the employee's reinstatement, request that the employee provide the University with military discharge documentation (DD214) that establishes the length and character of the employee's military service.

13.6.11 DISCHARGE

A person who is reemployed pursuant to USERRA cannot be discharged except “for cause” pursuant to the following schedule:

1. Within one year, if the person’s service was more than 180 days.
2. Within 6 months, if the person’s period of service was more than 30 days but less than 181 days.
3. Individuals who serve for 30 days or less have no protected period.

PART XIV

14.0 INTELLECTUAL PROPERTY RIGHTS POLICY

STATEMENT OF PURPOSE

14.1 INTRODUCTION

The concern for excellence in education and in research for the public interest has resulted in patentable new products and processes from discoveries by members of Hampton University⁵. This has raised new and complex questions relating to the ownership, and proper and equitable distribution of rewards and obligations arising from such discoveries by the inventors, authors, the university and outside sponsors of the university. Evolving federal policy and legislation in the patent and copyright areas may further complicate the situation. All of these considerations have caused Hampton University to review the existing policy to bring it into conformity with today's legal framework. The result has been the emergence of a new and more comprehensive intellectual property rights policy. The intent of the new policy is to provide the basis for equitable adjudication between the various interests involved and to maintain sensitivity to the potential commercial unity for the economic benefits of society.

The intent of the new policy is further outlined in the following principles:

First: The policy will encourage the use of ideas or creative works produced at Hampton University for the greatest possible public benefit. This will occur by disseminating and using these ideas or creative works in the broadest possible ways. Thus, every reasonable incentive will be given for the dissemination of

⁵ *Hampton University will interchangeably be referred to as "Hampton University," "Hampton," or "university" in this document.*

ideas, use of ideas, and the production of creative works or educational materials based on ideas generated within the Hampton University community. The policy recognizes the concept that public benefit will take precedence over deriving a profit by either the University or the originator(s) of the idea or creative work.

Second: The policy will protect the rights of scholars with respect to the products of their intellectual endeavors. For example, the policy will not interfere with the right of a scholar to publish a book or an article and will not dictate when, and under what circumstances, such a book or article may be published. However, the university may require that publication or other public disclosure of an invention be delayed until such time as a patent application is filed for the invention or a decision is taken by the university not to pursue patent protection for the invention.

Third: When intellectual property (1) results from research carried on by or under the direction of any university employee, agent or officer, or an administrator, faculty member, staff member, student, or visitor who is associated or affiliated with Hampton University, and all or part of the cost of the research is paid from university funds or from funds under the control of or administered by the university, or (2) is made by any university employee, agent or officer, or an administrator, faculty member, staff member, student, or visitor who is associated or affiliated with Hampton University as a direct result of his/her duties with the university, or (3) has been developed in whole or in part by any university employee, agent or officer, or an administrator, faculty member, staff

member, student, or visitor who is associated or affiliated with Hampton University, through the utilization of university resources or facilities, it is reasonable for the university to receive at least a portion of the benefits of that property, and/or to be reimbursed for the university's extra or special costs and use of the university's name or logo, if and when the intellectual property is introduced for commercial purposes.

Fourth: The scope of this policy encompasses the university's use, ownership, distribution and commercial development of intellectual property developed in accordance with the principles above. The term "intellectual property," as used herein, is broadly defined as an idea, discovery, an advancement in technology including, but not limited to, innovations, inventions (*e.g.*, a new and useful process, machine, composition of matter, or article of manufacture), and improvements to innovations or inventions as well as original works of authorship fixed in a tangible medium of expression (including software) used to document and/or communicate the ideas, discoveries or advancements in technology to others. Intellectual property includes such things as new or improved devices, circuits, chemical compounds, drugs, genetically engineered organisms, data sets, software, musical processes or new or improved methods of using existing inventions. Intellectual property may or may not be eligible for patent or copyright protection.

Therefore, this policy will define the use, ownership, distribution, and commercialization of intellectual property discussed herein. Further, it will define policies and procedures that govern the use and distribution of the intellectual property in its tangible forms.

14.2 INTANGIBLE AND TANGIBLE RESEARCH PROPERTY

INTRODUCTION

Intellectual property, as used herein, is defined above in section 14.1 and includes any property right associated with a new and useful process, machine, composition of matter, article of manufacture, or any new and useful improvement thereof. The term “intellectual property,” as used herein, further includes property rights associated with an original work of authorship fixed in a tangible medium of expression including, but not limited to, software. Intellectual property includes such things as new or improved devices, circuits, chemical compounds, drugs, genetically engineered organisms, data sets, software, musical processes or new or improved methods of using existing inventions. It is created when something new or improved has been conceived or developed, and/or when unusual, unexpected or non-obvious results are obtained from a new use of an existing invention. One or more individuals, each of whom has conceived of an essential element, or has contributed substantially to its conceptual development, can create intellectual property. These individuals may or may not qualify as an inventor or author under existing laws that govern intellectual property rights. Intellectual property may be protected under, or be associated with, the intangible or tangible property rights set forth below.

14.2.1 INTANGIBLE INTELLECTUAL PROPERTY RIGHTS: PATENTS

A patent is an intellectual property right granted by the United States Patent and Trademark Office that gives a patent owner the right to exclude all others from making, using, offering to sell, selling, or importing the invention within or into the United States, its territories and possessions, for a period of 20 years from the date on which the application for the patent was filed in the United States (or 14 years from the issue date of the design patent in the case of design patents). The

period of 20 years is exclusive of certain regulatory delays such as those sometimes caused by the Food and Drug Administration. It is important to note that no international patent exists and the scope of claims granted in a patent may vary considerably from country to country.

To be patentable in most countries, an invention must be new, useful and nonobvious. In the United States, a grace period of 12 months from the first written public disclosure of an invention is provided to file a patent application. In most foreign countries, patentability of an invention is barred if a patent application is not filed before public disclosure (written or oral). In most foreign countries, however, an applicant typically has 12 months to file a patent application if he/she has already filed a patent application directed to their invention in the United States. In addition to not filing a patent application in a timely manner, other circumstances, such as a lack of diligence in reducing an invention to practice, can impair the patentability of such invention. Accordingly, individuals conducting research at the university shall keep written records of all activity associated with attempts to complete and perfect their inventions and discoveries.

14.2.2 INTANGIBLE RESEARCH PROPERTY RIGHTS: COPYRIGHTS

Under copyright law, the owner of a copyright has the exclusive right to do, and authorize others to do, the following:

1. Reproduce the copyrighted work in copies;
2. Prepare derivative works based upon the copyrighted work;
3. Distribute copies or phonorecords of the copyrighted work to the public by sale or other transfer or ownership;
4. Perform the copyrighted work publicly, in the case of literary, musical dramatic and choreographic works, pantomimes, and motion pictures and other audio-visual works;

5. Display the copyrighted work publicly, in the case of literary, musical, dramatic, and choreographic works, pantomimes, and pictorial, graphic, or sculptural works, including the individual images of a motion picture or other audiovisual work; and
6. Perform the copyrighted work publicly (in the case of sound recordings) by means of a digital audio transmission.

Original works of authorship that have been fixed in a tangible medium of expression from which they can be perceived, reproduced, or otherwise communicated, either directly or with the aid of a machine or device are eligible for copyright protection.

The duration of copyright protection for a copyrighted work for an individual author extends for the author's life plus 70 years. For a "joint work prepared by two or more authors who did not work for hire," the term lasts for 70 years after the last surviving author's death. For works made for hire, and anonymous and pseudonymous works, the duration of copyright is 95 years from first publication or 120 years from creation, whichever is shorter (unless the author's identity is later revealed in Copyright Office records, in which case the term becomes the author's life plus 70 years).

In contrast to a patent which protects an "idea," copyrights cover the artistic expression in a particular literary work, musical work, computer program, video or motion picture, or sound recording, photograph, sculpture, and so forth, in which the "expression," is embodied, illustrated, or explained.

14.2.3 INTANGIBLE RESEARCH PROPERTY RIGHTS: TRADE AND SERVICE MARKS

A trademark or service mark is a word, name, symbol, device, or any combination, used or intended to be used to identify and distinguish the goods/services of one seller or provider from those of others, and to indicate the source of the goods/services. In the United States, trademark

ownership is generally acquired through use of a mark in commerce to identify the origin of goods and/or services. Sellers or providers of goods and/or services are also eligible to file for federal trademark protection based on their intended use of a particular mark in commerce. Ownership of a trademark or service mark does not depend upon federal or state registration, but instead depends upon who uses the mark. Trademarks and service marks may be registered at both the state and federal levels. In order to register a mark at the federal level, however, the mark must be used in interstate commerce.

14.2.4 INTANGIBLE RESEARCH PROPERTY RIGHTS: MASK WORKS

A mask work is defined as a series of related images representing a predetermined, three-dimensional pattern of metallic, insulating, or semiconducting layers of a semiconductor chip product. Under the Semiconductor Chip Protection Act (SCPA) of 1984, mask work protection extends for 10 years and gives the owner of the qualifying mask work exclusive rights to its exploitation. Mask works are registered with the United States Copyright Office. Failure to apply within 2 years of the initial commercial exploitation of a mask work results in the termination of the exclusive rights.

14.2.5 INTANGIBLE RESEARCH PROPERTY RIGHTS: TRADE SECRET

A trade secret is any information, including a formula, pattern, compilation, program, device, method, technique or process, that:

- (a) derives independent economic value, actual or potential, from not being generally known to, and not being readily ascertainable by proper means by, other persons who can obtain economic value from its disclosure or use; and
- (b) is the subject of efforts that are reasonable under the circumstances to maintain its secrecy.

Trade secret law may be used to protect valuable proprietary information and is a commonly used form of protection for software. Unlike patents, trademarks and copyrights, trade secrets are not governed by federal law. Instead, trade secret laws are determined by individual states. These state laws generally adhere to similar principles. The most important aspect of this type of protection is that of secrecy. Indeed, trade secret law only protects information so long as it is kept secret. In order to maintain protection when a trade secret is being used, it is necessary to bind those individuals having access to the secret by a contractual agreement not to disclose it.

14.2.6 TANGIBLE RESEARCH PROPERTY (TRP) RIGHTS

The term “tangible research property” refers to those research results which are in a tangible form as distinct from intangible property. Examples of tangible property include biological materials, engineering drawings, engineering prototypes, computer software, integrated circuit chips, computer databases, prototype devices, circuit diagrams, equipment and other property which can be physically distributed.

Although tangible research property may often be associated with one or more intellectual property rights, such property may be distributed without securing intellectual property protection when authorized by the Office of the Executive Vice President and Provost or by a contractual agreement (*e.g.*, a formal contract), a loan agreement, a letter agreement, or a user license as further set forth in this document.

14.3 ADMINISTRATION

14.3.1 THE EXECUTIVE VICE PRESIDENT AND PROVOST

The Executive Vice President and Provost is the final arbiter of any disputed issues related to intellectual property, or the interpretation of this policy. Any such disputed issues should be referred to the Executive Vice President and Provost, whose decisions regarding such disputes shall be considered. In the event that circumstances not covered by the policy arise, the vision for the licensing of intellectual property is two-fold. The first is to facilitate the transfer of intellectual property at Hampton for public use. The second, where consistent with the first, is to provide an additional source of unrestricted income to support research at Hampton. The Executive Vice President and Provost will work with the Hampton developers of intellectual property and with industry. However, it will do so in a manner that does not interfere with the normal flow of technical and academic information through publication, conferences and consulting.

The Executive Vice President and Provost has signature authority on behalf of the university for license agreements, agreements governing the transfer of Tangible Research Property, industrial contracts and all other agreements that pertain to intellectual property owned by the university. University faculty and other inventors/authors are not authorized to sign agreements that obligate the university to assign or license intellectual property to another entity. In addition, the Executive Vice President and Provost is responsible for the negotiation, execution and administration of all university agreements with external sponsors of research grants and contracts and for ensuring that the rights of the sponsors in intellectual property developed under external grants and contracts are protected. The Executive Vice President and Provost's personnel is available to assist all principal investigators and sponsored program administrations in the negotiation and interpretation of intellectual property terms of grants and contracts. Research

priorities will have precedence over intellectual property development priorities. Thus, no grant or contract terms are to be accepted which unduly inhibit the utilization by the public of the results of the research at Hampton. In unclear situations, or where there appears to be a conflict between the priorities, the Executive Vice President and Provost will be the final arbiter.

14.4 OWNERSHIP OF INTELLECTUAL PROPERTY

14.4.1 INTRODUCTION

The prompt and open dissemination of the results of Hampton's research and the free exchange of information among scholars are essential to the fulfillment of Hampton's obligations as an institution committed to excellence in education and research. Matters of ownership, distribution, and commercial development, nonetheless, arise in the context of technology transfer, which is an important aspect of Hampton's commitment to public service. Technology transfer is, however, subordinate to education and research; and the dissemination of information must, therefore, not be delayed beyond the minimal period necessary to define and protect the rights of the parties.

14.4.2 OWNERSHIP OF INTELLECTUAL PROPERTY

Ownership of intellectual property discussed herein are governed as follows:

14.4.2.1 INVENTOR/AUTHOR OWNED

Inventors/Authors will own intellectual property that:

- A. Does not result from research carried on by or under the direction of any university employee, agent or officer, or an administrator, faculty member, staff member, student, or visitor who is associated or affiliated with Hampton University, and having all or part of the cost thereof paid from university funds or from funds under the control of or administered by or on behalf of the university;

- B. Is not made by any university employee, agent or officer, or an administrator, faculty member, staff member, student, or visitor who is associated or affiliated with Hampton University as a direct result of his duties with the university;
- C. Is not made by anyone associated with the university using funds administered by Hampton to specifically pay for development of the invention/material;
- D. Has not been developed in whole or in part by any university employee, agent or officer, or an administrator, faculty member, staff member, student, or visitor who is associated or affiliated with Hampton University, through the utilization of university resources or facilities, excluding the use of offices, libraries, machine shop facilities, personal computers, and ATM machines;
- E. Was not developed using support either directly from or channeled through the university, including financial or other support, regardless of origin, which is used in the discovery or development of intellectual property and is provided through university channels; and
- F. Was not created pursuant to a written agreement with the university.

14.4.2.2 THIRD-PARTY OWNED

Ownership of all other intellectual property (including software, trade secrets, patents, copyrights, mask works, tangible research property, and trademarks) will be governed as follows:

- A. ownership of intellectual property that is developed pursuant to a written agreement with the university will be determined according to the terms of such agreement;
- B. ownership of intellectual property that is created as a “work-for-hire” as that term is defined under U.S. copyright law, or created pursuant to a written agreement with Hampton that provides for a transfer of copyright or ownership to Hampton, will rest with Hampton;

- C. ownership of intellectual property that results from research carried on by or under the direction of any university employee, agent or officer, or an administrator, faculty member, staff member, student, or visitor who is associated or affiliated with Hampton University, and has all or part of the cost thereof paid from Hampton's funds or from funds under the control of or administered by Hampton, rest with Hampton;
- D. ownership of intellectual property that is made by any university employee, agent or officer, or an administrator, faculty member, staff member, student, or visitor who is associated or affiliated with Hampton University as a direct result of his/her duties with Hampton, rest with Hampton;
- E. ownership of intellectual property that has been developed in whole or in part by any university employee, agent or officer, or an administrator, faculty member, staff member, student, or visitor who is associated or affiliated with Hampton University through the utilization of university resources or facilities, excluding the use of offices, libraries, machine shop facilities, personal computers, and ATM machines, rests with Hampton;
- F. ownership of intellectual property that has been developed using support either directly from or channeled through the university shall rest with Hampton; and
- G. ownership of intellectual property developed by anyone using funds administered by Hampton to specifically pay for development of the intellectual property shall rest with Hampton.

14.4.2.3 THESES

Students will own copyright in theses that do not:

- (a) involve research for which the student received support from the university; and

- (b) involve research performed in whole or in part utilizing equipment or facilities provided to the university under conditions which impose copyright restrictions.

Where copyright ownership resides with the student, the student must grant to the university, royalty-free permission to reproduce, and publicly distribute, copies of the theses.

14.5 SPONSORED RESEARCH AND OTHER AGREEMENTS

14.5.1 SPONSORED RESEARCH: GENERAL

Hampton personnel and visitors should contact the Executive Vice President and Provost for information or assistance regarding interpretation of research contract terms. The terms of such sponsored research agreements apply not only to inventions made by faculty and staff, but also to those made by students and visitors, regardless of whether those individuals performing research under such agreements receive any payment from Hampton. It is essential, therefore, that all individuals participating in research under any sponsored research agreement are made aware of their obligation to sign Invention and Copyright Agreements.

14.5.2 SPONSORED RESEARCH: COPYRIGHTS

Original works of authorship created under the terms of a sponsored research agreement will be governed by such research agreements. Authors of such works should be aware that such research agreements may contain contractual terms including, but not limited to, terms that govern the form that can be used to report research results, and that require the author to provide advance notice to the sponsor before publication.

14.5.3 FEDERALLY SPONSORED RESEARCH

Intellectual property relating to inventions arising from federally sponsored research is deemed a “subject invention” and subjects the university to certain requirements under the Bayh-Dole Act to retain title to the invention. Under 37 C.F.R. § 401.14(a)(2), a “subject invention” is

any invention that the contractor conceived or first actually reduced to practice in the performance of work under a federal grant, contract, or cooperative agreement provided that in the case of a variety of plant, the date of determination (as defined in section 41(d) of the Plant Variety Protection Act, 7 U.S.C. § 2401(d)) must also occur during the period in which the performance of work under a federal grant, contract or cooperative agreement occurred.

Subject inventions must be disclosed to the Executive Vice President and Provost's office and that office must then disclose the invention to the federal sponsor within two months and comply with other federal regulations. Upon evaluation by the Executive Vice President and Provost's office, the university may then elect to retain title to the invention. Should the university elect to retain title to the invention, the university may then market and license the invention to commercial entities where such marketing and licensing furthers the licensing goals of this policy. The university must also grant the U.S. government a royalty-free license for governmental purposes, give preference to U.S. manufacturers, give preference to small businesses and share royalties with inventors. The university must also periodically report licensing activity to the government.

14.5.4 INDUSTRY SPONSORED RESEARCH

Contracts with industry sponsors will typically provide that Hampton retains ownership of intellectual property developed under such agreements and that industrial sponsors will be granted an option to acquire a license to such intellectual property.

14.6 PROTECTION AND DISTRIBUTION OF INTELLECTUAL PROPERTY

14.6.1 RESPONSIBILITY

The Executive Vice President and Provost is responsible for facilitating the transfer of Hampton intellectual property for public use and benefit. The Executive Vice President and Provost evaluates, obtains protection for, and assists in the distribution of, intellectual property for research purposes. The Executive Vice President and Provost assists in the commercial development of selected intellectual property by identifying potential markets and negotiating license agreements.

A standard committee may be appointed by the President to assist the Executive Vice President and Provost in determining whether intellectual property developed at Hampton should be the subject of a patent application or a copyright registration. This committee may be comprised of individuals having significant work experience in industry, government and academia.

14.6.2 DISCLOSURE

The initial step in establishing contact with the Office of the Executive Vice President and Provost will be the submission of a Technology Disclosure Form. The disclosure form can be obtained from the Office of the Executive Vice President and Provost. When submitted, the Technology Disclosure Form will initiate action by the Executive Vice President and Provost to investigate the patenting (or other methods of protection), disclosure of the intellectual property to the public, and marketing of the intellectual property unless accomplished by a letter requesting other action by Hampton such as a waiver of Hampton's ownership rights in the intellectual property.

The Technology Disclosure Form serves to report intellectual property to the Office of the Executive Vice President and Provost. A case number will be given to the intellectual property reported, and the case will be assigned for evaluation.

14.6.2.1 DISCLOSURE: SPONSORED PROGRAMS

The terms of sponsored research and other agreements normally create obligations with respect to the reporting of inventions, technical data, and copyrightable works such as software. In particular, potentially patentable inventions and copyrightable works developed under sponsored research should be promptly reported to the Office of the Executive Vice President and Provost by submitting a Technology Disclosure Form. The Executive Vice President and Provost is responsible for discharging Hampton's obligations to research sponsors.

14.6.2.2 DISCLOSURE: OTHER PROGRAMS

Intellectual property developed by any university employee, agent or officer, or an administrator, faculty member, staff member, student, or visitor who is associated or affiliated with Hampton University should be submitted to the Office of the Executive Vice President and Provost using a Technology Disclosure Form if the intellectual property may be owned by the university pursuant to section 14.4.2 above.

14.6.3 PROTECTION OF INTELLECTUAL PROPERTY

14.6.3.1 PATENTS: SEEKING PROTECTION

Although patent protection is sometimes sought for various non-commercial reasons such as professional status, Hampton will not seek patent protection for inventions which are not commercially viable unless otherwise requested by the research sponsor. Hampton will normally seek patent protection on inventions in order to pursue commercial licensing and to comply with

the terms of sponsored research agreements. It is important, however, to understand at the outset that any publication, public disclosure, offer for sale, or public use of subject matter that describes an invention (even in minimal detail) prior to filing for a patent may preclude patenting unless a patent application is filed prior to the publication, disclosure, offer for sale, or use.

To avoid impairing the patentability of any invention, inventors shall submit a Technology Disclosure Form to the Office of the Vice President and obtain authorization from the Office of the Vice President before disclosing the invention to the public. Once a Technology Disclosure Form disclosing an invention is submitted to the Office of the Executive Vice President and Provost, the Office of the Executive Vice President and Provost will communicate with the inventor(s) to evaluate whether a patent application directed to the invention should be filed. In many cases, contact may industry will be made as a part of the evaluation process.

The Office of the Executive Vice President and Provost will be responsible for determining whether to file for patent protection. At the request of the Office of the Executive Vice President and Provost, all inventors shall execute assignments or other documents to assign to the university their rights in the invention and any patent applications and resulting patents on the invention. The university will retain title to all such patent applications and resulting patents.

If the invention arose from a sponsored research project, the Office of the Executive Vice President and Provost will file a patent application and negotiate an appropriate license consistent with the terms of the contract provided that the royalty terms justify the expense, or that funds for filing the patent application have been provided under the research agreement. The Office of the Executive Vice President and Provost may be contacted for information about the specific patent terms of individual research agreements.

14.6.3.2 COPYRIGHTS: REGISTRATION

Copyright protection of books, articles and publications is sought in order to recognize authorship and protect the integrity of the work. Registration of works that are eligible for copyright protection may be essential for Hampton to commercialize such works (*e.g.*, through license agreements with publishers) and to comply with the terms of sponsored research agreements. Copyright vests in a work as of the time the work is fixed in a tangible medium. Although failure to use a copyright notice will not result in any loss of copyright protection for works first published on or after March 1, 1989, such copyright notice should be used on any works developed by a university employee, agent or officer, or an administrator, faculty member, staff member, student, or visitor who is associated or affiliated with Hampton University to inform the public that the work is protected by copyright and prevent against innocent infringement defenses. The copyright notice shall comprise the symbol “©,” the word “Copyright,” or the abbreviation “Copr.,” set forth the year of first publication (*e.g.*, the first year the copyrighted material was publicly distributed); and the name of the copyright owner. In some instances, works developed by an employee, agent, officer, administrator, faculty member, staff member, student or visitor should be registered with the United States Copyright Office. The determination of whether a copyrighted work should be registered with the United States Copyright Office will be made by the Office of the Executive Vice President and Provost.

Each faculty member shall grant to Hampton University a non-exclusive, irrevocable, worldwide license to exercise any and all copyrights in his or her scholarly articles published in any medium, whether now known or later conceived or invented, and to authorize others to do the same, provided the articles are not sold by the university for a profit. This grant applies to all scholarly articles that any person authors or co-authors while appointed as a member of the faculty,

except for any such articles authored or co-authored before the adoption of this policy or subject to a conflicting agreement authorized by the Office of the Executive Vice President and Provost. Upon the express direction of a faculty member, the Office of the Executive Vice President and Provost will waive or suspend application of this license for a particular article authored or co-authored by that faculty member.

The university hereby authorizes each member of the faculty to exercise any and all copyrights in his or her scholarly articles that are subject to the terms and conditions of the grant set forth above. This authorization is irrevocable, non-assignable, and may only be amended by written agreement in the interest of further protecting and promoting the spirit of open access.

14.6.3.3 TRADE AND SERVICE MARKS: REGISTRATION

A trade or service mark may be used to protect those words, names, symbols, devices, or any combination thereof, that are used in commerce, or intended to be used in commerce, to identify the goods/services of the university, distinguish these goods/services from those of others, and to indicate the source of the goods/services. Prior to registration for trademark protection, the designation “TM” after a trademark or “SM” after a service mark will give adequate notice of a claim of ownership. The designation “®” may only be used after a trademark has been registered with the United States Patent and Trademark Office. The use of a trade and/or service mark to identify Hampton’s goods or services, or to designate Hampton as the origin of goods or services in commerce is authorized only under the direction of the Office of the Executive Vice President and Provost. It is important to note that trademark protection carries with it a certain obligation on the part of the holder of the mark. Therefore, requests for use and registration of trade or service marks on behalf of Hampton must be referred to the Office of the Executive Vice President and Provost.

14.6.3.4 MASK WORKS: REGISTRATION

Protection of a mask work commences on the date the mask work is registered with the Copyright Office or the date the mask work is first commercially exploited anywhere in the world, whichever occurs first. To secure protection of mask works for the entire 10-year term afforded by the Semiconductor Chip Protection Act (SCPA), owners must register their works with the Copyright Office within two years of the date on which the mask work is first commercially exploited. Questions concerning the registration of a mask work should be brought to the Office of the Executive Vice President and Provost. Furthermore, the Office of the Executive Vice President and Provost will determine whether a mask work that is owned by the university should be registered with the Copyright Office.

14.6.3.5 PROTECTION OF TRADE SECRETS

In the event that the Office of the Executive Vice President and Provost chooses to keep intellectual property owned by the university as a trade secret, all inventors of the intellectual property shall cooperate in maintaining the secrecy of the intellectual property. Maintaining the secrecy of the intellectual property may include, but is not limited to, executing a non-disclosure agreement and refraining from disclosing the intellectual property to others.

14.6.3.6 PROTECTION OF TANGIBLE RESEARCH PROPERTY (TRP)

14.6.3.6.1 POLICY FOR TRP

In keeping with the traditions of academic science and its basic objectives, it is the policy of Hampton that results of scientific research are to be promptly and openly made available to others. Since the traditional modes of dissemination through scholarly exchange and publication are not fully effective for most TRP, it is Hampton's policy that those research results which have tangible form should also be promptly and openly made available to other scientists for their

scientific research, unless such distribution is inappropriate due to factors such as safety, the need to more fully characterize or develop the TRP prior to distribution, or unless such distribution is incompatible with other obligations (*e.g.*, protecting the TRP under patent or copyright laws).

14.6.3.6.2 IDENTIFICATION OF TRP

Each item of TRP should have an unambiguous identification code and name sufficient to distinguish it from other similar items developed at Hampton or elsewhere. The Office of the Executive Vice President and Provost should be consulted for assistance in developing appropriate identification systems.

14.6.3.6.3 CONTROL OF TRP

Where TRP is developed in the course of research that is subject to the terms of a sponsored research or other agreement, control over its development, storage, distribution and use is the responsibility of the principal investigator, who will consult with the Office of the Executive Vice President and Provost. In cases where TRP is not developed under a sponsored research (or other) agreement, but is developed by one or more university employees, agents or officers, or an administrator, faculty member, staff member, student, or visitor who is associated or affiliated with Hampton University, control over TRP rests jointly with the laboratory director or department head and with the Office of the Executive Vice President and Provost. The party or parties in control of TRP shall determine whether (and when) TRP may be distributed beyond Hampton's laboratory for scientific use by others in accordance with the terms of this policy. The default mechanism for commercialization of TRP shall be through licensing agreements.

14.6.3.6.4 DISTRIBUTION OF BIOLOGICAL TRP FOR RESEARCH PURPOSES

Subject to sponsored research (or other) agreements under which biological TRP is developed, most biological TRP developed during the course of research conducted at Hampton may be distributed to others, for research purposes only, with minimal conditions attached. Where biological TRP is distributed to others solely for research purposes, such distribution shall be subject to an agreement by the recipient of the biological TRP that commercial development or commercial use or further transfer of the biological TRP to any other individual or entity is not to be undertaken. Such agreement should indicate that the recipient agrees to accept the biological TRP (which should be identified using the biological TRP's Biological Registry No.) to be used only for non-clinical, non-commercial research and the agreement should be signed by the recipient of the biological TRP and returned to Hampton's Office of the Executive Vice President and Provost. The agreement may also set forth terms to control subsequent use of the biological TRP, for example, by requiring recipients to follow a specific research protocol in the use of the biological materials. If there is a possibility of biohazard or other risk associated with the transport, storage, or use of a particular biological TRP, or if the recipient is likely to use the TRP for clinical research, the Office of the Executive Vice President and Provost should be contacted for advice on the appropriate form of disclaimers of liability and indemnities.

If the biological TRP was developed under a sponsored research agreement, or any other written agreement, the Office of the Executive Vice President and Provost should be contacted before such TRP is distributed to any individual or entity outside Hampton. The Office of the Executive Vice President and Provost will provide guidance on possible contractual obligations with respect to the TRP prior to its distribution for noncommercial purposes. Distribution of

biological TRP that is part of a patent or patent application should also be coordinated through the Office of the Executive Vice President and Provost.

When distributing biological TRP to research colleagues outside the laboratory in which the TRP was developed, costs of the materials and handling may be recovered from the recipient, and returned to the account which funded those costs. When costs are charged for TRP distribution, adequate documentation must be maintained for auditing purposes.

14.6.3.6.5 DISTRIBUTION OF COMPUTER SOFTWARE TRP FOR RESEARCH PURPOSES

The distribution of Hampton-owned computer software to colleagues for research purposes must be coordinated with the Office of the Executive Vice President and Provost if the software has potential commercial value, if the principal investigator wishes to control subsequent use, or if it is subject to the terms of a sponsored research (or any other written) agreement. The Office of the Executive Vice President and Provost will provide the terms for the distribution agreement that are necessary to preserve commercial value and will arrange for patent protection and trademark and copyright registration as appropriate. The Office of the Executive Vice President and Provost will also provide distribution services to distribute the software for non-commercial research use, wherein recipients will only be charged for the cost associated with the reproduction and distribution of the software. In addition to the handling of administrative details, including mailing, the Office of the Executive Vice President and Provost will also make arrangements for collecting departmental costs associated with providing software for non-commercial research use and returning these costs to the department.

14.6.3.6.6 OTHER TANGIBLE RESEARCH PROPERTY (TRP)

Distribution of TRP (other than biological and computer software TRP) should follow the procedures outlined in this policy for computer software TRP.

14.7 COMMERCIAL DEVELOPMENT OF INTELLECTUAL PROPERTY

14.7.1 INTRODUCTION

The primary functions of a university are education, research, and public service. It is in the context of public service that Hampton supports efforts directed toward bringing the fruits of its research to public use and benefit. In many cases, mere publication of research results will be sufficient to transfer Hampton research to the public. In other cases, it is necessary to encourage industry, by the granting of license rights, to invest its resources to develop products and processes for use by the public.

14.7.2 COMMERCIALIZATION-GENERAL

The Office of the Executive Vice President and Provost will pursue the licensing of intellectual property by researching the market for the intellectual property, identifying third parties to commercialize it, entering into discussions with potential licensees, developing a business plan, negotiating appropriate licenses or other agreements, monitoring the progress of commercial development, and distributing royalties to the inventors/authors in accordance with Hampton's royalty policy. Exclusive licenses will be granted if it appears to the Office of the Executive Vice President and Provost that this is the most effective way of ensuring development to the point that the public will benefit. Any exclusive license agreement will be so drawn as to protect against failure of the licensee to carry out effective development and marketing within a specified time period. When it is appropriate to do so, Hampton may accept an equity share in another entity in lieu of cash royalties.

14.7.3 INTELLECTUAL PROPERTY LICENSING GOALS

Commercialization of intellectual property by Hampton will be conducted in a manner that furthers one or more of the following goals:

- To optimize the generation of invention disclosures, the cost-effectiveness of domestic and international patent procurement, maintenance and enforcement, and the commercialization of intellectual property;
- To foster economic development activities by making appropriate intellectual property available to entrepreneurs desiring to start-up new companies on fair and accommodating terms;
- To enhance the flow of research funding to Hampton University as an outgrowth of intellectual property licensing and capabilities marketing;
- To generate revenue and revenue growth that is adequate to cover the costs of a growing operation and to provide funding to related university and economic development activities;
- To coordinate and assist in defining, packaging, and marketing of the university's resources and capabilities which can lead to transfers of technology that are mutually advantageous to various stakeholders; and
- To support the overall mission of the university by enhancing its stature and reputation as a research university as well as the reputation of its faculty and students.

14.7.4. INVENTOR/AUTHOR ASSISTANCE

With few exceptions, the support and cooperation of the inventor/author is critical to licensing success. Accordingly, all inventors/authors shall fully cooperate with the Office of the

Executive Vice President and Provost to commercialize intellectual property in instances where that Office chooses to undertake such commercialization.

14.7.5. PROCEDURES FOR GRANTING LICENSES⁶

14.7.5.1 GENERAL PROCEDURE

The following steps will be taken by the Office of the Executive Vice President and Provost to minimize the potential for creating an unacceptable conflict of interest in the granting of licenses:

1. The staff of the Office of the Executive Vice President and Provost will use their professional judgment and information from a range of sources to evaluate potential licensees for intellectual property. The Office of the Executive Vice President and Provost may consider suggestions provided by the inventors/authors of the intellectual property, or by other faculty members, students or employees of the University.
2. The staff of the Office of the Executive Vice President and Provost will disclose to the university on an annual basis any financial interests they have in companies which are or may become potential licensees and will not participate in licensing discussions or negotiations which could benefit those companies.
3. When a primary candidate for an exclusive license is identified, and before any license or option agreement is negotiated, the staff of the Office of the Vice President will ask each

⁶ This policy does not set forth commercialization procedures for video works produced through the Office of the Executive Vice President and Provost or those which may be specifically commissioned by a department or laboratory within Hampton. Video works developed pursuant to an agreement will be subject to the terms of that agreement. The disposition of rights with respect to other Hampton-owned video works will be made on a case-by-case basis by the Office of the Executive Vice President and Provost until such time as a policy has been defined.

author or inventor, and any other university faculty member, student or employee whose involvement with the licensee or optionee is known to the Office of the Vice President, whether they, any members of their immediate family or household, or any of their business associates have, or plan to have, a Close Financial Interest⁷ in the potential licensee or optionee. When options are to be granted to undisclosed inventions (*e.g.*, as in industrially-sponsored research or material transfer agreements) only holdings of equity (as defined in footnote 6 below) or consulting agreements which tie compensation to the value of the company, its stock, or its profits will be considered to be Close Financial Interests.

4. If no Close Financial Interest exists or is planned between any inventor or author, or any other faculty member, employee or student of the university, or any member of the family or household of any such person, and the potential licensee, the Office of the Executive Vice President and Provost will proceed to negotiate a license.
5. If any such individual has a Close Financial Interest, and the potential licensee company is an emerging company (*i.e.*, a company not yet formed or a company which does not

⁷ A Close Financial Interest includes equity, the option to obtain equity, or the promise of equity in the prospective licensee company, or a long-term, exclusive or otherwise significant consulting arrangement with the prospective licensee company. An equity position will not be considered a close Financial Interest unless: (a) the equity represents a significant share of the company (a holding of 5% or more of the company's stock would be presumed to be significant; holdings of less than 5% will require case-by-case consideration) or (b) the proposed license or the inventor's, author's or other individual's future research is likely to have a significant impact on the value of the stock. A relatively small number of shares of a large publicly-held company will not be considered a Close Financial Interest, but a small number of shares in a start-up or privately held company is likely to be considered a Close Financial Interest. A Close Financial Interest shall be considered to exist whether the above relationship is with the author, inventor or other university faculty member, employee or student, is with members of his/her immediate family and/or household, or is with his/her close business associates.

yet have initial financing), the Office of the Executive Vice President and Provost shall be delegated responsibility for determining whether the company has the potential to obtain sufficient financial, management and technological resources to enable vigorous development of the intellectual property to be licensed. If the determination is made in favor of the proposed licensee, then the Office of the Executive Vice President and Provost, at its discretion, using its best professional judgment may:

- a. Enter into a license agreement with the emerging company, which agreement contains provisions for license termination in the event that the company fails to meet objective, time-limited business development milestones that may include, e.g., achieving capitalization to a threshold level deemed sufficient by the Office of the Executive Vice President and Provost staff to enable vigorous development of products based on the licensed intellectual property or meeting specific technology-based milestones;
 - b. Grant the emerging company a short-term ‘stand-still’ or option period, during which the company may seek to assemble resources identified by the Office of the Executive Vice President and Provost staff as critical and/or negotiate an exclusive license for the relevant technology, the granting of which will be contingent upon the company having met pre-agreed criteria.
6. Once it appears that an exclusive license may be granted to a company in which an inventor, author or other university faculty member, employee or student has a Close Financial Interest, each such individual will inform the Office of the Executive Vice President and Provost of that possibility and will initiate discussions with the committee

to resolve any conflict of interest concerns the committee might have. Before or soon after a license is signed with a company in which any such individual has a Close Financial Interest:

- a. Each individual who has a Close Financial Interest will provide the Office of the Executive Vice President and Provost with written notice of such license, which notice will identify the licensed intellectual property and licensee company.
- b. Each such individual will notify the Office of the Executive Vice President and Provost if the license is expected to include rights to future technology such as rights to separately patentable improvements and whether such improvements are limited to technology dominated by the originally licensed intellectual property.
- c. In addition, each author, inventor or other university faculty member, employee or student with a Close Financial Interest is required to provide the Office of the Executive Vice President and Provost with the following information:
 - i. the details of that individual's relationship to the prospective licensee company;
 - ii. the relationship, if any, of such individual's ongoing university research to the activities of the licensee company; and
 - iii. a completed Conflict Avoidance Statement in a form similar to the attached. Through this statement, the individual acknowledges the potential for conflict and commits himself or herself to certain actions to minimize and manage that potential. In the case of a faculty member, the statement will be signed by the faculty supervisor of the individual's research activities. If the faculty supervisor also has a Close Financial Interest in the company, the Office of the Executive Vice President and Provost will authorize another individual to sign the statement.

Individual faculty policies regarding conflict of interest and commitment may require other forms of disclosure and/or action in addition to this statement.

7. Based on conclusions drawn from review of the above information, the Office of the Executive Vice President and Provost will institute any monitoring, review or reporting mechanisms or other actions that may be deemed appropriate to address a potential conflict of interest on the part of the individual having a Close Financial Interest, such as:
 - a. reduction or elimination of the inventor's equity ownership in a licensee;
 - b. ongoing (annual) reporting by that individual on the relation, if any, of his/her university research or other university activities to the licensee company and how the potential for conflict is being managed; and/or
 - c. monitoring of the future research or other university activities of the individual.

14.7.5.2 PROCEDURE FOR LICENSING WHERE EQUITY IS TAKEN IN LIEU OF ROYALTIES

Where the Office of the Executive Vice President and Provost determines that equity will be accepted in lieu of, or partially in lieu of, royalty payments from a licensee, the following shall apply:

1. Hampton University may accept equity in a company on behalf of Hampton University as partial or full consideration for intellectual property licensing-related transactions as negotiated by the Office of the Executive Vice President and Provost in appropriate circumstances pursuant to this policy, with the approval of the Provost.
2. For purposes of section 14.7.5.2 of this policy, a "founder" shall be any university faculty, staff or student who is likely to have a significant financial interest in a licensee as that term is defined in section 14.10.2 of this policy.

3. Any person associated with or affiliated with the university that is a founder of a company may elect to represent or participate on behalf of that company in the negotiation of a license or related contractual arrangement with the university. In such case, the negotiations will be conducted at arm's length and the founder will affirm in writing his or her acknowledgement that during the period of negotiation he or she will be considered an agent of the company, will not be privy to internal university deliberations regarding the conduct of the negotiations or the management of the intellectual property proposed to be licensed, and will not attempt to influence the university's position regarding any matter related to the proposed license, except through direct negotiation through the Office of the Executive Vice President and Provost in his or her role as a representative of the Company. The Office of the Executive Vice President and Provost will forward a copy of the written affirmation to the Provost.
4. Any person who is a founder of a company shall not be eligible to receive, and shall be deemed to have waived, all rights to receive equity or the proceeds of equity accepted on behalf of the university with respect to a license to the company of which he or she is a founder. Two-thirds of that portion of the equity or proceeds of equity, which under section 14.8.1 of this policy, would otherwise be directed to the founder(s) as inventor(s) will be distributed to the department of the founder(s) and one-third shall be distributed to the Hampton General Fund.
5. Where there is a proposal for equity in a company to be accepted as consideration for an intellectual property licensing-related transaction, the Office of the Executive Vice President and Provost will:

- a. arrange for all equity to be issued in the name of and held by Hampton University. The non-founder inventor(s)' sole right under these circumstances is the receipt of the cash equivalent of their share of equity pursuant to section 14.8.1 of this policy after his/her shares of equity are sold by the university and the university receives the proceeds of such sale.

14.7.6 INVENTOR/AUTHOR OWNED-INTELLECTUAL PROPERTY

Hampton employees, agents, officers, administrators, faculty members, staff members, students, or visitors who are associated or affiliated with Hampton University, and who wish to pursue the development of their independently owned intellectual property through the Office of the Executive Vice President and Provost may offer such intellectual property for evaluation by submitting a Technology Disclosure Form. The Office of the Executive Vice President and Provost will evaluate the commercial potential and determine whether or not the intellectual property will be accepted for licensing by the Office of the Executive Vice President and Provost.

The aforementioned individuals are equally free to choose some other mechanism for commercializing their independently-owned intellectual property. Prior to any commercialization efforts, however, those individuals should make sure that the intellectual property is not subject to a sponsored research (or any other written) agreement, does not constitute a "work-for-hire," and/or is not owned by a third-party or by Hampton pursuant to section 14.4 of this policy. If any of these conditions might apply, the inventor/author should request from the Office of the Executive Vice President and Provost an appropriate license to exercise the right to commercialize such intellectual property or an agreement that waives Hampton's rights to the intellectual property.

14.7.7 COMMITMENT OF FUTURE INVENTIONS

It will be the policy of Hampton not to commit future inventions to licensees even where improvements to technology are anticipated. Some very narrowly drawn exceptions may occasionally be appropriate to handle subordinate patents and well-defined derivative works for licensed software.

14.7.8 CONSULTING CONTRACTS

The Office of the Executive Vice President and Provost will not negotiate consulting contracts for individual inventors/authors as part of a license agreement.

14.7.9 RELEASE OF INTELLECTUAL PROPERTY

Where the university determines that it will not pursue protection for intellectual property (*e.g.*, by filing a patent application on an invention owned by the university) or abandons its intellectual property rights with respect to intellectual property it owns (*e.g.*, by abandoning a patent application on an invention prior to issuance of a patent, abandoning an issued patent on such invention), the inventor(s) may request a release of the intellectual property. Upon determining that releasing the invention to the inventor(s) will not violate the terms of an external funding agreement and is in the best interests of the university and the public, the Office of the Executive Vice President and Provost may agree to release and in such case will release all interests it holds or has the right to hold in the invention to the inventor(s) in equal shares, or such other shares as the inventors may all agree to in a written agreement. In addition, where an author believes that release of intellectual property would enhance the transfer of an original work of authorship to the public, and release of the intellectual property is consistent with Hampton's obligations to third parties, and does not involve a conflict of interest, Hampton may release its

ownership of such intellectual property to its author(s). Release of any intellectual property may be conditioned upon, among other things, agreement by the inventor(s)/author(s) to the following:

1. To reimburse the university for all out-of-pocket legal expenses and fees incurred by the university in its effort to protect, distribute and/or commercialize the intellectual property if and when the inventor(s)/author(s) receive income from the intellectual property;
2. To share with the university 20% of the net royalty income (income remaining from gross royalty income after subtracting expenses associated with protecting, distributing and/or commercializing the intellectual property if the inventor(s)/author(s) paid such expenses) received by the inventor(s)/author(s) from the intellectual property. Income subject to this revenue sharing provision includes equity received by inventor(s)/author(s) as consideration for the intellectual property but does not include financing received for purposes of research and development;
3. Upon request, to report to the university regarding efforts to develop the intellectual property for public use and, at the university's request, to reassign intellectual property to Hampton University which the inventor(s)/author(s), their agents or designees are not developing for the benefit of the public;
4. To fulfill any obligations that may exist to sponsors of the research that led to the intellectual property;
5. To grant back to the university an irrevocable, perpetual, royalty-free, non-exclusive, worldwide right and license to make and use the intellectual property for its research, education and clinical care purposes and a right to grant the same rights to other non-profit institutions; and/or

6. To agree to such limitations on the university's liability and indemnity provisions as the university may request.

14.8 ROYALTY DISTRIBUTION

14.8.1 GENERAL DISTRIBUTION POLICY

Subject to grants and contracts with third-parties, royalty income that is derived from intellectual property owned by Hampton shall be distributed according to the following procedure:

1. Hampton will calculate the net royalty income by first deducting any direct expenses incurred by it in connection with protecting (*e.g.*, patenting, trademark registration, etc.), distributing and commercializing the intellectual property from the gross royalty income. These expenses may include fees paid to outside legal, consulting, government, and licensing organizations and any other out-of-pocket costs incurred by the university. If the inventor incurred any expenses to protect, distribute and/or commercialize the intellectual property, those expenses will also be deducted from the gross royalty income and paid to the inventor upon approval by the Office of the Executive Vice President and Provost.
2. The university will then distribute the net royalty income to the inventor(s)⁸ of the intellectual property in the following manner:
 - a. Net Royalty Income from \$0 to \$300,000:
 - i. 50% to the inventor(s);
 - ii. 10% to the inventor(s)' laboratory until, in the discretion of the Office of the Executive Vice President and Provost, this distribution equals the maximum

⁸ For purposes of section 14.8, the term "inventor(s)" shall include inventors, authors and any other individuals who contributed to the conception of the intellectual property from which royalty revenue is derived.

amount which can be reasonably expended in the laboratory, after which any excess shall be distributed for research support within the university;

- iii. 10% to the inventor(s)' department; and
 - iv. 30% to the Hampton General Fund to provide research support in the university as determined by the Office of the Executive President.
- b. Net Royalty Income from \$300,001 to \$500,000:
- i. 40% to the inventor(s);
 - ii. 10% to the inventor(s)' laboratory until, in the discretion of the Office of the Executive Vice President and Provost, this distribution equals the maximum amount which can be reasonably expended in the laboratory, after which any excess shall be distributed for research support within the university;
 - iii. 10% to the inventor(s)' department; and
 - iv. 40% to the Hampton General Fund to provide research support in the university as determined by the Office of the Executive Vice President and Provost.
- c. Net Royalty Income exceeding \$500,000:
- i. 35% to the inventor(s);
 - ii. 10% to the inventor(s)' laboratory until, in the discretion of the Office of the Executive Vice President and Provost, this distribution equals the maximum amount which can be reasonably expended in the laboratory, after which any excess shall be distributed for research support within the university;
 - iii. 10% to the inventor(s)' department; and
 - iv. 45% to the Hampton General Fund to provide research support in the university as determined by the Office of the Executive Vice President and Provost.

Net Royalty Income will be distributed to the inventors, departments, laboratories and to research support no less frequently than on an annual basis.

If for any reason the inventor ceases to be a university employee or, if not an employee, is no longer studying or working at the university, then the disposition of the share to which that inventor's laboratory would have been entitled shall be determined by the Office of the Executive Vice President and Provost.

The inventor(s)' personal share of the Net Royalty Income shall survive termination of affiliation with the university and, in the event of death of an inventor, shall inure to his/her estate.

The dollar ranges set forth above may be adjusted by the Office of the Executive Vice President and Provost to reflect the change, if any, in the cost-of-living. Such adjustments shall be effective on a date determined by the Office of the Executive Vice President and Provost.

For purposes of this policy, the term "royalty" shall include running royalties, advances against running royalties, up-front license fees, milestone payments, shares of stock or other securities issued by the licensee or another corporation ("equity"), and any other payments received by the university under a license agreement in consideration for licensing an invention, but shall not include amounts received from a licensee or others in sponsorship of research or under other agreements for other goods, services or rights.

Where there is more than one inventor, the net royalty income shall be divided equally amongst all of the inventors unless all of the inventors have executed a written agreement to distribute the royalty income in a different manner.

In the event there is more than one invention in a license agreement, each inventor shall receive a proportion of the net royalty income according to a distribution schedule determined by the Office of the Executive Vice President and Provost.

Where equity is derived from licensing, the university will make no distribution to the inventors, but will make a distribution from the proceeds of the orderly sale of the securities at such times and in such amounts as determined in the sole discretion of the university and after the further deduction of brokerage and related expenses incident to the sale of the securities to the inventor(s).

14.8.2 ROYALTY DISTRIBUTION – SPECIAL CIRCUMSTANCES

In some cases, distribution of royalties to individuals will be impractical or inappropriate; for example, where the material was developed as a laboratory project or where the authors/inventors are not easily identifiable. After consulting with the principal investigator (or laboratory director/department head if not under a sponsored research agreement), the Office of the Executive Vice President and Provost will review the circumstances of development when such situations have been identified. In such cases, net royalty income will typically be divided equally between the department or laboratory and the Hampton General Fund, under approval of the President. In any situation where royalty distribution to individuals is not recommended, distribution of income is subject to the approval of the President.

14.9 FACULTY, STUDENT, STAFF, AND VISITOR OBLIGATIONS

14.9.1 GENERAL POLICY

It is the policy of Hampton that individuals, through their employment by Hampton, or by participating in a sponsored research project, or by using Hampton administered funds or facilities, thereby accept the principles of ownership of intellectual property as stated under this policy. In furthering such undertaking, all participants will sign Invention and Copyright Agreements in accordance with the following policy.

14.9.2 INVENTION AND COPYRIGHT AGREEMENTS

14.9.2.1 WHO IS COVERED BY THIS POLICY

All employees, agents, officers, administrators, faculty members, staff members, students, and visitors who are associated or affiliated with Hampton University are subject to this policy on intellectual property rights.

14.9.2.2 ADMINISTRATION

Each Hampton school/college and department through its dean, chair and/or director is responsible for ensuring that Invention and Copyright Agreements are signed by any and all individuals whose research activities fall within those outlined in section 14.4 of this policy. The Invention and Copyright Agreements shall be signed before any individual begins research. The Office of the Executive Vice President and Provost and the Human Resource (HR) Department will monitor compliance with this requirement by each Hampton school/college and department. All Invention and Copyright Agreements should be signed in quadruplicate with one copy retained by the signatory, one copy retained in the school/college or laboratory/department files, one copy retained by HR, and one copy sent to the Office of the Executive Vice President and Provost.

14.10 INVESTIGATOR FINANCIAL DISCLOSURE FOR FEDERALLY FUNDED PROGRAMS

14.10.1 INTRODUCTION

Federal regulations require the university to manage, reduce or eliminate any actual or potential conflicts of interest that may be presented by a financial interest of an investigator in covered federal programs. Thus, the university requires that investigators disclose any significant financial interest that may present an actual or potential conflict of interest in a sponsored research project to the Office of the Executive Vice President and Provost.

14.10.2 DEFINITIONS

- A. The term “investigator,” as used herein, means those persons at the university who are responsible for the design, conduct, or reporting of research or educational activities funded, or proposed for funding, by a covered federal agency. The investigator’s spouse and dependent children are included in the definition of “investigator.” An actual or potential conflict of interest exists when the Office of the Executive Vice President and Provost reasonably determines that a significant financial interest could directly and significantly affect the design, conduct, or reporting of research or educational activities.
- B. The term “significant financial interest,” as used herein, means anything of monetary value to the investigator including but not limited to:
1. Salary or other payments for services (e.g., consulting fees or honoraria) from an outside institution;
 2. Equity interest (e.g., stocks, stock options or other ownership interests); and
 3. Intellectual property rights (e.g., patents, copyrights, and royalties from such rights).

The Term does not include:

1. Salary, royalties, or other remuneration from Hampton University;
2. Income from seminars, lectures, or teaching engagements sponsored by public or nonprofit entities;
3. Income from service on advisory committees or review panels for public or nonprofit entities; or
4. Financial interests in business enterprises or entities if the value of such interests does not exceed \$10,000 in value (or \$10,000 per annum if salary, fee

or other continuing payments) and does not represent a 5% or greater ownership interest for any single enterprise or entity, regardless of the value, and if that equity or ownership interest is held in a company whose financial interests would not reasonably appear to be affected by the researcher's activities⁹.

14.10.3 REQUIREMENTS

- A. Each investigator is required to read this policy.
- B. Each investigator is required to disclose to the Office of the Executive Vice President and Provost the following:
 - 1. Any significant financial interests of the investigator as that term is defined in section 14.10.2(B) of this policy;
 - 2. Any significant financial interest of the investigator that would reasonably appear to be directly affected by the research or educational activities funded, or proposed to be funded, by an external sponsor;
 - 3. Any significant financial interest of the investigator that could directly affect the research or educational activities funded, or proposed to be funded, by an external sponsor;
 - 4. Any significant financial interest of the investigator in any entity whose financial interest would reasonably appear to be directly affected by the research or educational activities funded, or proposed for funding, by an external sponsor; and/or

⁹ Note that the equity and financial interests of the investigator and the investigator's spouse and dependent children are aggregated to determine whether the above thresholds are met.

5. Any significant financial interest of the investigator in any entity that could directly affect the research or educational activities funded, or proposed for funding, by an external sponsor.

Regardless of the above minimum requirements, an investigator, in his or her own best interest, may choose to disclose any other financial or related interest that could present an actual or potential conflict of interest. Disclosure is a key factor in protecting one's reputation and career from potentially embarrassing or harmful allegations of misconduct.

14.10.4 PROCEDURES

- A. Each investigator must complete a Significant Financial Interest Disclosure Form and attach all required supporting documentation. The completed form must be submitted to the Office of the Executive Vice President and Provost with any grant proposal and a Request to Apply for a Grant Form after approvals for the grant proposal have been obtained from the Chair/Department Head, Dean and Provost. Supporting documentation that identifies the business enterprise or entity involved, and the nature and amount of the interest, should be submitted in a sealed envelope marked "Confidential" and should accompany the Significant Financial Interest Disclosure Form, Request to Apply for a Grant Form, and grant proposal.
- B. As required by federal regulations, all significant financial interests must be disclosed prior to the time a grant proposal is submitted to an outside entity. If a new significant financial interest arises at any time after the submission of the grant proposal through the entire period of any resulting award, the investigator must file a new Significant Financial Interest Disclosure Form within fourteen (14) days of becoming aware of such interest.

- C. If an investigator indicates that an actual or potential conflict of interest could exist, the Disclosure Packet will be referred to The Financial Disclosure Review Committee established by the Provost. Committee members are appointed for two-year periods and recommended by School Deans. The Executive Vice President and Provost, or designated administrator, will call a meeting with the Financial Disclosure Review Committee where he or she will serve as a non-voting member. The investigator whose financial interests are to be discussed will be invited to the meeting but will not be permitted to vote. In the event of a tie, the Provost shall make the final decision.
- D. Prior to consideration by the Financial Disclosure Review Committee (hereinafter referred to as “the Committee”), the investigator must develop and present to the Committee a Resolution Plan that details proposed steps that will be taken to manage, reduce, or eliminate any actual or potential conflict of interest posed by a significant financial interest that is disclosed in a Significant Financial Interest Disclosure Form. Examples of conditions or restrictions that might be proposed include (but are not limited to):
1. Public disclosure of the significant financial interest;
 2. Review of research protocol by independent reviewers; and/or
 3. Monitoring of research by independent reviewers.

The Financial Disclosure Review Committee will then review the Resolution Plan. The Committee may approve the plan, reject the plan, or approve an amended version of the plan. The Resolution Plan may include, among other terms, the following conditions or restrictions:

1. Modification of the research plan, including the site(s) of the investigation;
2. Disqualification of the investigator from participation in all or a portion of the research;
3. Divestiture of one or more significant financial interests; and/or

4. Severance of one or more relationships that create an actual or potential conflict of interest.

Investigators may revise and resubmit a rejected Resolution Plan, or may appeal the Committee decision. The Provost will make the final decision regarding resolution of appeals. If the Committee determines that imposing the above-referenced conditions or restrictions would be ineffective or inequitable, or that the potential negative impacts that may arise from a significant financial interest are outweighed by interests of scientific progress, technology transfer, other public health and welfare, then the Committee may recommend that the research go forward without imposing such conditions or restrictions.

The approved Resolution Plan must detail the conditions or restrictions imposed upon the investigator in the conduct of the project or in the relationship with outside enterprises or entities. The Resolution Plan must be signed by the Investigator, the Committee Chairperson, and the Provost.

Actual or potential conflicts of interest as shown on the Financial Disclosure Form must be satisfactorily managed, reduced, or eliminated by, at a minimum, complying with all of the restrictions and conditions set forth in the approved Resolution Plan, prior to accepting any award, or they will be disclosed to the sponsoring agency. Accordingly, the investigator must notify the Office of the Executive Vice President and Provost in writing once all of the conditions of the Resolution Plan have been met.

The Executive Vice President and Provost will notify the sponsoring agency if a resolution cannot be agreed upon or if an investigator fails to comply with one or more terms of an approved Resolution Plan.

Significant Financial Interest Disclosure Forms, as well as written records detailing the actions taken by investigators to comply with approved Resolution Plans and manage actual or potential conflicts of interest must be retained in the Office of the Executive Vice President and Provost until the later of three (3) years after the date of the letter of termination or completion of the award to which they relate, or the resolution of any government action involving those records.

Whenever an investigator has violated this policy, or the terms of an approved Resolution Plan, the Committee must recommend sanctions which may include disciplinary action ranging from a letter of reprimand to dismissal and termination of employment. If the violation results in a collateral proceeding under university policies regarding misconduct in science, then the Committee must defer a decision on sanctions until the misconduct in science process is completed. The Committee's recommendation on sanctions will be presented to the Provost who will enforce any recommended disciplinary action.

14.10.5 EFFECTIVE DATE

This policy is effective as of the Fall 2017 Semester, and will remain in effect until modified or rescinded. It may also be revised in response to modifications of the applicable federal regulations and guidelines.

14.10.6 OTHER REGULATIONS

The Investigator Financial Disclosure for Federally Funded Programs policy, set forth herein, is unrelated to, and in no way supersedes, the university's Policy on Conflicts of Interest

14.11. POLICY ON CONFLICTS OF INTEREST

No employee, administrator, faculty member, staff member, student, officer, or agent of Hampton University will participate in the selection, award or administration of a contract in which

external funds are used where, to his or her knowledge, any of the following has a financial interest in the contract:

1. The employee, administrator, faculty member, staff member, student, officer, or agent of Hampton University;
2. Any immediate family member of an employee, administrator, faculty member, staff member, student, officer or agent of Hampton University;
3. A domestic partner of an employee, administrator, faculty member, staff member, student, officer or agent of Hampton University;
4. A business partner of an employee, administrator, faculty member, staff member, student, officer or agent of Hampton University;
5. An organization in which an individual identified in 1-4 above, is an officer, director, or employee; or
6. A person or organization with whom any of the above individuals is negotiating, or has any arrangement concerning, prospective employment.

Employees, administrators, faculty members, staff members, students, officers or agents of Hampton University may neither solicit nor accept gratuities, favors or anything of value from contractors or potential contractors. Violations of, or requests for exceptions to, this policy will be reviewed by a committee appointed by the Provost. If any violation of this policy is found, the individual or individuals found to have committed such violation will subject to disciplinary actions as recommended by the committee appointed by the Provost. Disciplinary actions may include letters of reprimand, suspensions, or terminations of employment. A written recommendation regarding the disciplinary action to be taken shall be made by the committee to the Provost within thirty (30) days of any finding of a violation of this policy.

14.12 INTELLECTUAL PROPERTY RIGHTS OF OTHERS

14.12.1 INTRODUCTION

Hampton University respects the intellectual property rights of third parties. With very limited exceptions, use of protected intellectual property without the permission of the owner is unlawful and can result in substantial civil and/or criminal penalties. Accordingly, members of the Hampton University community (including university employees, agents or officers, administrators, faculty members, staff members, students, and visitors who are associated or affiliated with Hampton University) are cautioned to observe the rights of other intellectual property owners. Any questions or concerns regarding policies pertaining to the use of intellectual property belonging to third parties should be directed to the Executive Vice President and Provost.

14.12.2 PROCEDURE FOR MINIMIZING INFRINGEMENT RISKS

In accordance with Hampton University's policy to respect the intellectual property rights of third parties, the Executive Vice President and Provost urges the Hampton University community to follow the procedure below before using any intellectual property belonging to others:

- 1) Members of the Hampton University community shall contact the Office of the Executive Vice President and Provost for guidance on whether a license will be required to use intellectual property owned by a third party (*e.g.*, software, printed materials, courseware, etc.);
- 2) Members of the Hampton University community shall obtain any licenses to use intellectual property owned by a third-party on behalf of Hampton University

(*i.e.*, not on behalf of any individual member of the Hampton University community) using a license form obtained from the Office of the Executive Vice President and Provost; and

- 3) Where a member of the Hampton University community is subject to a license agreement or contractual obligation, that community member shall fully cooperate with the Office of the Executive Vice President and Provost to ensure that the terms of such license or contract are adhered to/complied with.

14.12.2.1 MINIMIZING RISK OF PATENT INFRINGEMENT

The Hampton community is cautioned not make, use, or otherwise knowingly include patent-protected technology in any research materials, processes, machines, equipment, or compositions, with very few limited exceptions. If an individual knows of a patent or pending patent application that covers (or may cover) or that may be infringed by an activity, the individual shall bring the matter to the attention of the Office of the Executive Vice President and Provost and follow the procedure outlined in this Section 14.11.2.

If a third-party believes their patent rights have been infringed by a member of the Hampton University community, that third-party is urged to provide the Office of the Executive Vice President and Provost with the following information:

1. A physical or electronic signature by the third-party or a physical or electronic signature of a person authorized to act on the third-party's behalf;
2. Information that is reasonably sufficient to allow the Office of the Executive Vice President and Provost to contact the third-party, or the third-party's agent, including a name, address, telephone number, and, if available, an e-mail address;

3. Identification of the patent(s) alleged to have been infringed, including (i) a complete description or explanation of the nature of the patent(s), (ii) evidence that the third-party owns the patent, and (iii) a showing sufficient for the Executive Vice President and Provost to determine, without unreasonable effort, that the patent(s) has/have been infringed;
4. Identification of the activities the third-party believes constitute infringement of the identified patent(s);
5. A statement from the third-party or the third-party's agent that the third-party has not authorized the activities identified in #4 (above); and
6. A statement under penalty of perjury that all of the information in the notification is accurate and, that the third-party is the owner of the patent(s) or is authorized to act on behalf of the owner of the patent(s).

Upon receiving the notification, Hampton will take whatever action, in its sole discretion, it deems appropriate in compliance with applicable laws.

If a member of the Hampton community has independent knowledge of a patent infringement violation, the individual shall report the violation to the Office of the Executive Vice President and Provost.

14.12.2.2 MINIMIZING RISK OF COPYRIGHT INFRINGEMENT

Compliance with federal copyright laws is expected of all members of the Hampton University community. Members of the community are advised that copying and/or distributing, including downloading and uploading information on the internet¹⁰, may infringe one or more

¹⁰ The Digital Millennium Copyright Act of 1998 ("DMCA") amends federal copyright law to provide certain liability protections for online service providers, including universities, when

copyrights protecting the copied/distributed materials. Federal law prohibits the reproduction, distribution, public display or public performance of copyrighted materials without permission of the copyright owner, except in accordance with “fair use” or other statutory exceptions.

Violations of copyright law that occur, including violations on, or over, Hampton University’s networks or other computer resources, may create liability for the university as well as the individual. Hampton University reserves the right to take corrective action, including termination of computer accounts and any other access privileges, upon being notified that a member of the community has engaged in one or more infringing activities.

Members of the Hampton University community should also be aware that the university will turn over the name of an alleged infringing user in response to a subpoena or a lawful complaining party request if it believes it has a legal obligation to do so.

If a third-party believes their copyright rights have been infringed by a member of the Hampton University community, that third-party is urged to provide the Office of the Executive Vice President and Provost with a written notice that materials copied/distributed, or information residing on Hampton University’s computer systems or networks, is an infringement of the copyright, including the following:

1. A physical or electronic signature of a person authorized to act on behalf of the owner of the copyright that is allegedly infringed;
2. Identification of the copyrighted work claimed to have been infringed, or, if multiple copyrighted works are covered by a single notification, a representative list of such works;

their computer systems or networks carry materials that violate copyright law. To qualify for liability protection, the University is required to have a policy under which the computer accounts of users will be terminated if they repeatedly infringe the copyrighted works of others.

3. Identification of the material that is claimed to be infringing or to be the subject of infringing activity, and information reasonably sufficient to permit a service provider, if applicable, to locate the material;
4. In the case of Internet-based activities, information reasonably sufficient to permit the service provider to contact the complaining party, such as an address, telephone number, and, if available, an electronic mail address at which the complaining party may be contacted;
5. A statement that the complaining party has a good faith belief that use of the material in the manner complained of is not authorized by the copyright owner, its agent, or the law; and
6. A statement that the information in the notification is accurate, and under penalty of perjury, that the complaining party is authorized to act on behalf of the owner of a copyright that is allegedly infringed.

Upon receiving the notification, Hampton will take whatever action, in its sole discretion, it deems appropriate, including, if applicable, promptly remove or render inaccessible the accused information from its computers and informing the computer account holder/user that the allegedly infringing material has been removed or access has been disabled in compliance with applicable laws.

If a member of the Hampton community has independent knowledge of a copyright violation, including any violation on a university computer system or network, the individual shall report the violation to the Office of the Executive Vice President and Provost.

14.12.2.3 MINIMIZING RISK OF TRADEMARK INFRINGEMENT

If a third-party believes their trademark rights have been infringed by a member of the Hampton University community, that third-party is urged to provide the Office of the Executive Vice President and Provost with the following information:

1. A physical or electronic signature of the owner of the trademark or a physical or electronic signature of a person authorized to act on the trademark owner's behalf;
2. Information reasonably sufficient to permit the Office of the Executive Vice President and Provost to contact the trademark owner or the authorized agent of the trademark owner, including a name, address, telephone number and, if available, an email address;
3. Identification of the trademark(s) alleged to have been infringed, including (i) for registered trademarks, a copy of each relevant federal trademark registration certificate or (ii) for common law or other trademarks, evidence sufficient to establish the claimed rights in the trademark, including the nature of the use of the trademark, and the time period and geographic area in which the trademark has been used;
4. Information reasonably sufficient to permit the Executive Vice President and Provost to identify the use of the trademark being challenged;
5. A statement by the owner that he/she has not authorized the challenged use, and that he/she has a good-faith belief that the challenged use is not authorized by law; and
6. A statement under penalty of perjury that all of the information in the notification is accurate and that signatory is the trademark owner, or an individual authorized to act on behalf of the trademark owner.

Upon receipt of notice as described above, the Office of the Executive Vice President and Provost will seek to confirm the existence of the trademark identified on the notice, notify the member of the Hampton University community who used the trademark, and take whatever action, in its sole discretion, it deems appropriate, including removal of the accused trademark from the materials on which it is placed.

PART XV

MISCELLANEOUS

15.0 POLICIES AND PROCEDURES

15.1 GIFTS

No individual faculty member or department is authorized to accept gifts, donations, or consigned merchandise and equipment until University permission has been granted by the President (through the Purchasing Office for equipment and merchandise, through the Treasurer for financial gifts and donations). Once the gift has been received, the Business Office should be advised so that proper recording and inventory may be made.

15.2 INCLEMENT WEATHER

15.2.1 POLICY

Hampton University is primarily a residential institution, and efforts will be made to maintain operations as normal as possible during inclement weather or other emergency situations.

15.2.2 PROCEDURES

The President of the University has responsibility for opening/closing Hampton University in the event of serious adverse weather conditions, which develop overnight or during the day. In the President's absence, the Administrative Council shall be responsible for making a decision regarding the opening/closing of Hampton University should adverse weather conditions develop overnight or during the day. After the President or the Administrative Council has made a decision, the Director of University Relations shall be notified immediately in order to provide information to the media and the University Community. The Director of University Relations shall also be

responsible for notifying University Police and the Hampton University switchboard of the decision.

Essential personnel are needed for the on-going operations of the University. Therefore, these employees are expected to be present during emergencies or adverse weather conditions. The following categories are deemed essential to the operation of the University:

- Extended Administrative Council and their secretaries
- Switchboard
- University Police
- Cafeteria Personnel
- Buildings and Grounds Personnel
- Dean of Judicial Affairs and Housing, and Dean of Residence Life, and their secretaries
- Residence Hall Directors
- Director of Student Activities and Staff
- Student Health Center Nursing Staff
- Director of Counseling Center and secretary
- Director of University Relations
- Supervisor of Maintenance Storeroom
- Trucking Services Personnel
- Supervisor of the Mail Services
- Directors of Auxiliary Services, Business Office, and Purchasing and their secretaries
- Directors of Admission, Financial Aid and Registrar and their secretaries
- Directors of Computer Center and Center for Information Technology, and their staff
- Supervisors may call others as conditions may dictate

When adverse or inclement weather conditions or other emergencies require delaying the beginning hour for classes, the specific hours for Mondays, Wednesdays and Fridays shall be consistent with the regular class schedule such as 9:00 a.m., 10:00 a.m., and 11:00 a.m. On Tuesdays and Thursdays where classes are scheduled for one hour and fifteen minute periods, delayed classes should begin at 9:30 a.m., 11:00 a.m. or 12:30 p.m., etc. Whenever a decision is made to begin classes or open the University at a time other than the normal hour, the Director of University Relations and staff, after being informed of the decision, will contact various media, including radio, television and newspapers. The Hampton University staff, faculty and students are, therefore, encouraged to seek information from these sources regarding openings and closings.

When adverse weather conditions develop during the day, the Executive Vice President and Provost and the Vice President of Business Affairs and Treasurer shall be responsible for notifying respective personnel after a decision has been reached by the President or the Administrative Council. Faculty members unable to get to work or class will be excused without penalty.

15.3 DEVELOPMENTAL BUDGETS

College/School and divisional/departmental budget requests are submitted annually to the Executive Vice President and Provost by the School/Deans Area Directors and Department Chairpersons on forms provided by the Vice President for Business Affairs and Treasurer. After consultation with these individuals, the Executive Vice President and Provost makes any necessary adjustments, and the forms are transmitted through the Vice President for Business Affairs and Treasurer to the President.

15.4 POLICY ON INTRA-COLLEGE CONSULTING SERVICES

DEFINITIONS

15.4.1 CONSULTANT

A consultant is an individual who provides professional services or possesses special skills. This title does not apply to persons whose fees are treated as an indirect cost or to the procurement of consulting services from firms or organizations.

15.4.2 INTERNAL CONSULTANT

An internal consultant is a full or part-time consultant who is an officer or an employee of the University, and whose consulting work is being performed in addition to the work required by his/her regular appointment.

15.4.3 POLICY

It is the policy of the University that intra-university consultation is considered an obligation of each faculty member as part of his/her professional services to Hampton University during the normal course of employment and requires no additional compensation. In unusual cases, however, where consultation is across departmental lines or involves a separate or remote operation, and the work performed by the consultant is in addition to his/her regular duties, charges for such services representing extra compensation above his/her regular salary are allowable with written approval by the sponsor or grantor. The charges for such extra compensation must be in keeping with the applicable policies of the University. All consulting services for sponsored projects must be justified as essential and must be approved by the School Dean/Area Director and the Executive Vice President and Provost.

Approval must be granted by the Executive Vice President and Provost and/or appropriate Vice Presidents and the President. Furthermore, the services must be of such a nature that they cannot be performed by an individual who already holds an appointment and receives compensation under the grant. The extent of such consulting services must be based on a process which attempts to secure the most qualified individual available. The compensation must be shown to be appropriate both for the service performed and the qualifications of the consultant, taking into consideration the prevailing charges for like services and the compensation policy of the University.

In no event will a consulting agreement be entered into with a full-time Federal employee, unless that employee can produce documented evidence that a consultant agreement between him/her and the University is not contrary to department or agency rules, regulations, or procedures, and that it is not a violation of any provision of the U.S. Code of Federal Regulations.

15.5 POLICY ON COMPENSATION FOR VISITING SCHOLARS

The faculty and students at Hampton University should have an opportunity to interact and study with distinguished scholars, who for financial and professional reasons, may not be a part of the regular Hampton University Faculty. Such individuals are often available for short-term appointments from major research institutions of higher education, industry and government agencies. It is recommended that visiting scholars with a national reputation be paid a salary above the University scale when the salary is supported by a grant awarded to the University. Proposal writers are expected to identify such scholars and to present their credentials to the Executive Vice President and Provost prior to the submission of a proposal.

15.6 BENEFITS FOR RETIRED PERSONS

Retired persons may be awarded an annual contract as a part of funded projects. Time and salary will be limited to the conditions of the funded project. During the first year of a full-time appointment, instructional members may participate in the Teachers Insurance and Annuity Association Plan/College Retirement Equities Fund (TIAA/CREF).

15.7 POLICY ON THE SINGLE COURSE RATE

When necessary, the University employs qualified professionals to teach a single course or a regular faculty member to assume additional courses as an overload. The compensation for teaching such courses is made at an established single-course rate. The rate for single courses and overload changes from time to time. The current policy can be secured from the immediate supervisor or the Executive Vice President and Provost.

15.8 REPAIRS TO BUILDINGS AND EQUIPMENT

Whenever buildings, equipment and utility installations are in need of repairs, the Office of the Director of the Physical Plant should be notified immediately.

15.9 COMMONWEALTH OF VIRGINIA REGULATIONS

REGARDING NEW RESIDENTS WITH AUTOMOBILES

The Commonwealth of Virginia requires that all new residents obtain Virginia State Registration for their automobiles within sixty days of their established residency. In conjunction with this regulation, a new resident also must obtain a Virginia State driver's license within the same length of time.

For more information concerning change of registration and obtaining a new license, contact your nearest Virginia Department of Motor Vehicles Customer Service Center (<https://www.dmv.virginia.gov/#/>).

15.10 PERSONNEL POLICIES GOVERNING EDUCATIONAL SUPPORT STAFF

Personnel policies governing the Educational Support Staff may be found in the Educational Support Staff Handbook, Fall 2009. Copies of this Handbook are available in the Office of Human Resources.

15.11 POLICY ON UNIVERSITY-WIDE ACTIVITIES

Prior to the completion of plans for programs initiated by support areas, student affairs, or academic areas, the plans shall be reviewed by the appropriate University official(s). This policy will assist committee Chairpersons and others assigned coordinating functions to develop and implement programs that will reflect favorably on the image of Hampton University.

15.12 POLICY ON PROTOCOL FOR SUPPORT STAFF ACTIVITIES AND STUDENT AFFAIRS

Support staff and student affairs activities involving off-campus persons or groups shall be cleared with the Vice President for Business Affairs and Treasurer and/or the Vice President for Administrative Services, respectively. Clearance for such activities must be obtained prior to making final plans or extending invitations. Further, whenever persons involved are of national distinction or are high-ranking officials (i.e., mayors, governors, diplomats, superintendents of schools, college presidents, members of the U.S. Congress, cabinet officers, etc.) , a letter of invitation shall be prepared by the sponsor for the University President's signature.

This policy shall not be construed as curtailing the utilization of qualified persons to serve as speakers for support staff or student affairs activities. However, when such speakers are known to be political candidates or to represent partisan political or controversial positions on given issues, a balance shall be maintained by also presenting persons of other views.

15.13 POLICY ON PROTOCOL FOR ACADEMIC AREAS WITH REGARD TO SPONSORING CONFERENCES, WORKSHOPS, OR OTHER EDUCATIONAL ACTIVITIES

Activities which are planned by academic areas and which involve off-campus persons or groups shall be cleared with the Executive Vice President and Provost. Clearance for such activities must be obtained prior to making final plans or extending invitations.

15.14 POLICY ON RESPONSIBILITY FOR COORDINATING ACTIVITIES RELATED TO THE ILLNESS OR DEMISE OF MEMBERS OF THE BOARD, FACULTY OR STAFF

Upon the illness or death of a member of the Board, faculty and staff (retired or currently employed), the Chief of Staff shall be notified. He/She shall be responsible for coordinating all activities involving Hampton University on such occasions.

15.15 POLICY ON RESPONSIBILITY FOR OFFICIAL DOCUMENTS UPON THE RETIREMENT, RESIGNATION, TRANSFER OR TERMINATION OF PERSONNEL

When faculty, staff, or administrators retire, resign, are transferred, or terminated, all official documents, equipment, records, keys, and materials which are the property of Hampton

University shall be left intact on University premises. The employee's immediate supervisor shall receive such materials and keys, if any, to be passed on to the individual's successor.

Under normal circumstances, it is expected that the faculty, staff, or administrator shall vacate the office on the day of termination, but in no case later than thirty (30) days after the termination of his/her services, unless there are extenuating circumstances which have been agreed upon by the appointed representative of Hampton University and the employee.

15.16 POLICY ON HIRING INDIVIDUALS

The prospective employee's most recent immediate supervisor must be contacted for a reference before an individual is offered a contract at Hampton University. A criminal background check is required for all potential employees, and a credit history may be required for certain positions with the University. The University will maintain a list of those positions that will/will not require a criminal background check and/or credit history. Prior to obtaining a background check or credit history, the University will request the employee's written permission to obtain such information. Contracts will only be issued once such checks have been performed, with findings to the university's satisfaction.

15.17 POLICY ON THE USE OF RESTRICTED GIFTS AND GRANTS FOR ACADEMIC PROGRAMS

When notification of a private, restricted grant to Hampton University is received in support of the instructional program of a particular department, the notice shall be channeled to the President who will formally accept the grant on behalf of the institution. The notice of the grant will be communicated to the Department Chairperson, School Dean/Area Director, Executive Vice President and Provost, Vice President for Development, Vice President for Research, and Vice

President for Business Affairs and Treasurer. The President and Vice President for Business Affairs and Treasurer are authorized by the Board of Trustees to accept grants for the institution.

The Department Chairperson, School Dean, Executive Vice President and Provost, and Vice President for Business Affairs and Treasurer will meet immediately upon receipt of a restricted grant to determine the use of the grant funds, vis-à-vis the approved budget of the department. Once a decision is reached as to the use of the funds, a formal statement shall be prepared by the Executive Vice President and Provost and communicated to the Vice President for Development. Copies of this communication shall be made available to the Department Chairperson, Dean, Vice President for Business Affairs and Treasurer, and the President. The Chairperson shall not begin the program activities obligating funds, until such a statement is received.

15.18 INSTITUTIONAL REVIEW BOARD

The Institutional Review Board (IRB) is appointed by the President. The function of the IRB is to review projects and activities that involve human subjects. The Board determines for each activity as planned and conducted whether subjects will be placed at risk and, if risk is involved, whether:

- the risks to the subject are so outweighed by the sum of the benefit to the subject and the importance of the knowledge to be gained as to warrant a decision to allow the subject to accept these risks;
- the rights and welfare of any such subjects will be adequately protected;
- legally effective, informed consent will be obtained by adequate and appropriate methods;
- and
- the conduct of the activity will be reviewed at timely intervals.

The Chairperson of the Institutional Review Board should be contacted by individual Chairpersons proposing such research.

15.19 POLICY ON DRUGS AND NARCOTICS

The University established the Drug and Alcohol Policy in compliance with the Drug-Free Workplace Act of 1988, 41 U.S.C. §701, et seq., in order to maintain a workplace environment that is conducive to the safe and efficient performance of job duties and that promotes the health and well-being of all employees, customers and others having business with the University. This policy applies to ALL employees of the University. Employees employed to perform duties related to the operation of a Commercial Motor Vehicle are also subject to the *Hampton University Policy on Misuse of Alcohol and Use of Controlled Substances for Driver Employees Performing Safety-Sensitive Functions* as mandated by the Department of Transportation.¹¹ Such employees will be provided a copy of that policy separately. The University is committed to a drug and alcohol free workplace to ensure the quality of its services and its reputation in the community.

15.19.1 POLICY STATEMENT

The unlawful manufacture, use, possession, sale, purchase, dispensation, distribution, or being under the influence of controlled substances, illegal or unauthorized drugs, or alcohol while on University property including parking lots, in University vehicles, at the site for performance for any work for the University, or while on University time off premises is strictly prohibited. Violation of this policy, as well as conviction under any drug statute including, but

¹¹ All testing performed in accord with the *Hampton University Policy on Misuse of Alcohol and Use of Controlled Substances for Driver Employees Performing Safety-Sensitive Functions* will be performed prior to testing in compliance with this policy and will utilize a separate specimen collected prior to specimens collected for testing in accord with this policy.

not limited to, conviction for drug use, possession, or sale, anywhere by an employee will be reason for disciplinary action up to and including termination. The Hampton University Drug and Alcohol Policy contained in Section 9 of the Personnel Policies, Benefits & Procedures Handbook for Educational Support Staff is applicable to all faculty and is hereby fully adopted and incorporated into this Section 15.21.1. The refusal to submit to a drug or alcohol test prescribed by this policy is grounds for disciplinary action up to and including termination.

As a condition of employment with the University, employees must abide by the terms and conditions of this Drug and Alcohol Policy and further must notify the University in writing of any criminal drug statute conviction involving a violation occurring at the workplace, no later than five (5) days after such conviction.

15.20 POLICY ON SMOKING

Smoking is not permitted within the University's buildings. Smoking may be permitted in certain designated outside areas. Employees must request a smoke break from the supervisor. Disposal of all cigarette butts must be done in a responsible manner outside the building.

15.21 POLICY ON GRAFFITI

Hampton University is an historic, cultural and educational entity, renowned for the quiet and majestic beauty of its buildings and grounds. The preservation of this environment is critical to the standard of excellence maintained by the University.

It should be clearly understood that defacement of any kind of University property is unacceptable behavior for a Hampton University student and will not be tolerated. Defacement includes the practice of placing graffiti on public surfaces. Graffiti is defined as inscriptions or drawings on walls or other public surfaces. Specifically, as it relates to Hampton University, those

surfaces include, but are not limited to, buildings, desks, walls, stairwells, etc., and any other “property” of the University.

Any person found guilty of using graffiti in the defacement of University property will, at a minimum, make restitution for any damages and will also be subject to disciplinary action up to and including expulsion.

15.22 DESTRUCTION AND THEFT

Destruction or theft of University property, property of students, property under the control and supervision of the University and property of guests of the University is prohibited. Offender(s) will be subject to restitution and disciplinary action of separation from the University.

15.23 MISUSE OF RECORDS

Forging, altering or misusing University documents, records, ID cards, or meal tickets constitute a violation of University rules and regulations. Offender(s) will be subject to suspension from the University.

15.24 OBSCENE LANGUAGE

The use of obscene language or profanity on the campus is prohibited. Faculty, staff and students are expected to use appropriate language in all settings at the University and are encouraged to practice communication methods and terminology consistent with Hampton’s academic environment. Failure to observe this policy will subject the offender(s) to appropriate disciplinary action, up to suspension from the University.

15.25 LEWD BEHAVIOR

The exhibiting of lewd, sexually suggestive or indecent behavior on the campus is prohibited. Failure to observe this policy will subject the offender(s) to appropriate disciplinary action, up to suspension from the University.

15.26 FIRE SAFETY INFORMATION

Procedures to be followed in case of fire are posted in each residence hall and classroom building. They can also be found in the University's Annual Security Report (ASR). Students, faculty and staff are expected to follow these procedures for fire drills or in case of fire or other emergency, and to observe the necessary precautions to insure the safety of themselves and other students at all times. Please be advised that it is a violation of State Code 18.2-212 to activate or summons fire, emergency, or ambulance equipment when no emergency exists. It is a Class 1 misdemeanor. Any person(s) found to violate this Code will be prosecuted through the local courts and will be subject to immediate disciplinary action, up to permanent separation from Hampton University.

15.27 FIRE EXTINGUISHERS/SMOKE/HEAT DETECTORS AND FIRE HOSES

Each residential facility is equipped with approved fire extinguishers, heat and smoke detectors and fire hoses, all of which are crucial in life-threatening situations during fire-related emergencies. Persons who tamper with or remove this equipment place both the facility and its occupants in great jeopardy. The University requires the utmost cooperation of all residents and shall take immediate disciplinary action against any person found guilty of tampering with or removing any emergency equipment.

CONFIDENTIAL FACULTY PERFORMANCE REVIEW
 Academic Year _____

Name	School	Department	Position/Title
------	--------	------------	----------------

1. PRESENT PERFORMANCE:

Transfer the FACULTY EVALUATION FORM GRAND TOTAL SCORE to the table below:

_____	Over 85	Excellent	(exceeds full standards)
_____	70 – 84	Good	(meets full standards)
_____	50 – 69	Average	(meets average standards)
_____	30 – 49	Poor	(less than average standards)
_____	0 – 32	Unacceptable	(less than minimum standards)

2. DOCUMENTATION:

____ Has ____ Has not demonstrated potential for advancement.

If “has” was checked, please answer the following questions:

a. What is the next step in this position?

b. What specific growth activities have been undertaken to prepare for advancement? _____

c. Does this faculty person show potential for long-range advancement?
 yes ____ no ____ If so, to what type of position? _____

d. What specific experience and/or training (internal or external) do you recommend as preparation for advancement in rank and/or position?

3. SIGNATURES:

 Chairperson/Coordinator

 Date

 Faculty Member

 Title

() concur
 I () do not concur
 with the above rating

 Dean

 Title

() concur
 I () do not concur
 with the above rating

CONFIDENTIAL

HAMPTON UNIVERSITY
Hampton, Virginia
Office of the Executive Vice President and Provost

APPENDIX B

FACULTY EVALUATION FORM

Date _____

DEPT. _____ **NAME** _____ **RANK** _____ **YRS. AT HU** _____ **YRS. AT PRESENT RANK** _____

DIRECTIONS: Circle the number that corresponds most closely to your response to the following statements about the instructor's performance ranging from 4 - Strongly Agree to 0 - Strongly Disagree.

ACADEMICS AND TEACHING EFFECTIVENESS

		4 = STRONGLY AGREE	3	2	1	0 = STRONGLY DISAGREE
1.	Provides fully developed syllabi that clearly state course objectives, expected outcomes, means of evaluation, important dates, required texts and materials, policies on attendance, punctuality and make-up work, office hours, and other information as required or appropriate.	4	3	2	1	0
2.	Correlates clearly defined, outcome-oriented course objectives with effective means to assess their attainment.	4	3	2	1	0
3.	Utilizes subject matter that is current, challenging and appropriate to the course in question.	4	3	2	1	0

Copies will be filed with the Executive Vice President and Provost, Dean, Chairperson, and Faculty Member.

Approved February 12, 2008

APPENDIX B, cont'd.

	ACADEMICS AND TEACHING EFFECTIVENESS (CONTINUED)	4 = STRONGLY AGREE	3	2	1	0 = STRONGLY DISAGREE
4.	Employs effective teaching techniques—including discipline-specific tools and technology---to achieve academic objectives.	4	3	2	1	0
5.	Creates a positive environment that encourages free-flow of communication, promotes active involvement, and otherwise enhances the teaching/learning process.	4	3	2	1	0
6.	Maintains a respectful atmosphere in class as well as in other academic settings.	4	3	2	1	0
7.	Documents and enforces classroom policies that promote the Hampton University ethos of character, community, and culture.	4	3	2	1	0
8.	Complies with departmental, school and university policies and procedures.	4	3	2	1	0
9.	Serves as an effective advisor for student academic and career-related needs.	4	3	2	1	0
10.	Contributes positively to the operation, growth and development of the department.	4	3	2	1	0

RESEARCH/GRANTSMANSHIP

APPENDIX B, cont'd.

		4 = STRONGLY AGREE	3	2	1	0 = STRONGLY DISAGREE
1.	Actively seeks funding opportunities.	4	3	2	1	0
2.	Submits “Request to Apply for Grant/Contract” forms and proposals.	4	3	2	1	0
3.	Obtains grant funding from external agencies, foundations, or corporations.	4	3	2	1	0
4.	Obtains monetary/in-kind gifts from external agencies, foundations, or corporations.	4	3	2	1	0
5.	Works collaboratively with others to develop competitive proposals.	4	3	2	1	0
6.	Endeavors to produce discipline-related work.	4	3	2	1	0
7.	Presents discipline-related work at conferences, exhibitions, and other professional venues.	4	3	2	1	0
8.	Publishes articles in peer-reviewed journals.	4	3	2	1	0
9.	Works on and publishes discipline-related books.	4	3	2	1	0

10.	Combines and synthesizes grantsmanship and research.	4	3	2	1	0
------------	---	----------	----------	----------	----------	----------

SERVICE

APPENDIX B, cont'd.

		4 = STRONGLY AGREE	3	2	1	0 = STRONGLY DISAGREE
1.	Serves on or acts as consultant to local, state, national or international professional or professionally related organizations or bodies.	4	3	2	1	0
2.	Serves on departmental, school and university committees and task forces.	4	3	2	1	0
3.	Actively supports departmental, school, and university activities, events, initiatives and concerns.	4	3	2	1	0
4.	Actively participates in non-professional community affairs.	4	3	2	1	0
5.	Demonstrates clear, consistent commitment to Hampton University.	4	3	2	1	0

ACADEMICS AND TEACHING EFFECTIVENESS _____

RESEARCH/GRANTSMANSHIP _____

SERVICE _____

GRAND TOTAL _____

**HAMPTON UNIVERSITY
HAMPTON, VIRGINIA
Office of the Executive Vice President and Provost
CLASSROOM OBSERVATION FORM**

APPENDIX C

Name _____ **Course** _____
Observer _____ **Semester** _____ **Date** _____

Directions: Rate the instructor on each item, giving the highest scores for unusually effective performances. Place in the space before each statement the number that most nearly reflects your rating.

Excellent	Outstanding	Good	Fair	Poor	Not Applicable
5	4	3	2	1	NA

- _____ Objectives for this presentation were made clear to students.
- _____ Presentation was well planned and organized.
- _____ Presentation style was appropriate and effective.
- _____ Relevant examples, metaphors and analogies were used to establish connections with students' previous experiences and learning.
- _____ Class time was well used.
- _____ Critical thinking and analysis was modeled and encouraged.
- _____ Instructional techniques required a majority of students to be actively involved.
- _____ Respect for diverse opinions was communicated.
- _____ Warm, accepting, open classroom atmosphere was evident.
- _____ Instructor interest in information was communicated.
- _____ Instructor interest in student learning was communicated.
- _____ Instructor mastery of subject matter was clear and thorough.
- _____ Appropriate and effective use was made of audio-visuals, computer or other instructional technology to support presentation objectives.
- _____ Related easily with students.
- _____ Integrated information from other areas within and outside of her/his discipline.
- _____ Was sensitive to feelings of students.
- _____ Demonstrated enthusiasm for teaching and learning.
- _____ Discovered student misunderstandings and misconceptions.
- _____ Students attended to what was happening in class.
- _____ Moved around the classroom with ease as interacted with students.

Date of Feedback Conference with Instructor _____

Instructor Comments:

Observer Comments:

Signature of Instructor

Signature of Observer

FACULTY PERFORMANCE CONTRACT

TENURED

NAME _____ ACADEMIC YEAR _____ RANK _____ TENURE TRACT

DEPARTMENT _____ ANNUAL

CATEGORIES	Goals/Objectives with Supportive Rationales	Plan of action to Achieve Goals/Objectives (include dates/times)	Standards or Criteria for Assessment of Achievement of Goals/Objectives
I. TEACHING			
II. RESEARCH/SCHOLARLY ACTIVITY			
III. PROFESSIONAL & COMMUNITY SERVICE			

NOTE: Copies will be filed with the Executive Vice President and Provost, Dean, Chairperson, and Faculty Member.

FACULTY PROFILE DOCUMENTATION FORM

FORM A

Period: January 1, _____ to December 31, _____

Please check one: First Report Update since January

NAME: _____

IDENTIFICATION NUMBER _____ RANK: _____

This profile provides an opportunity for each faculty member to convey to the college community his/her professional activities during the past year. Under each category CONCISELY document activities in which you have participated that are recognized standards in your field, e.g., initiative, leadership, professional growth and knowledge advancement.

I. Teaching (i.e., innovative teaching methods, and/or special activities for honor students and/or students experiencing academic difficulties);

II. RESEARCH AND CREATIVE ACTIVITIES (i.e., grant proposals submitted, and/or funded; activities related to completed research projects, published and/or professionally reported; creative activities);

APPENDIX E, cont'd.

FORM A
-2-

III. SERVICE

A. Institutional (i.e., Committee assignments; interactions with recognized student groups):

B. Local, State and National (i.e., Professional membership, consulting activities, proposal reader, lecturing, recitals and professional exhibitions):

IV. PROFESSIONAL DEVELOPMENT (i.e., completion of degree requirements participation in seminars, workshops, courses of study, honors/swards received):

COMPUTER INPUT FOR FACULTY PROFILE

FORM B

PERIOD: JANUARY 1, _____ TO DECEMBER 31, _____

Please transfer to this form the information documented in Form A. Enter an appropriate response for each activity only once and in the most appropriate category.

Please check one: First report Update since January _____

DEMOGRAPHIC DATA

Name: _____ Identification Number: _____

Date of Birth: _____ Home Address: _____

City: _____ State: _____ Zip: _____

Sex (Check one) Male Female Marital Status (Check one) Married Single Divorced

Individual to contact in care of emergency: _____

Relationship: _____ Telephone: _____ Title: _____

Rank: _____

Faculty Status: (Select one)

- 1. Tenured
- 2. Non-Tenured
- 3. Tenure Track
- 4. Non-Tenured Track

Contract Type: (Select one)

- 1. Regular (Tenure Track)
- 2. Annual
- 3. Restrictive
- 4. Part-Time
- 5. Summer Session

School/Department (Please Indicate)

Race

School: _____
Department _____

1. American Indian/Alaskan
2. Asian/Oriental
3. Black
4. White
5. Other: _____

1. Years of teaching experience (or equivalent) prior to becoming a faculty member at Hampton University: _____
2. Year of first appointment at Hampton University: _____
3. Year joined Hampton University on subsequent appointment: _____
4. Year promoted to present rank: _____
5. Cumulative years as a faculty member at Hampton University: _____

APPENDIX E, cont'd.

FORM B

-2-

6. Education:

Field of Study

Degree	Major	Minor	Year Granted	College/University
Bachelor's	_____	_____	_____	_____
Master's	_____	_____	_____	_____
Doctorate	_____	_____	_____	_____
Other	_____	_____	_____	_____

7. Professional Licenses of certificates held: _____

8. Did you complete degree requirements during last year: yes no

9. Based upon your professional training, in what other major discipline(s) and specific area(s) do you have teaching competency?

Major Discipline

Specific Areas

- a. _____
- b. _____
- c. _____
- d. _____

Note: refer to latest Hampton University catalog for appropriate Major Discipline.

10. Number of semester on leave for:

	Last Year	Prior to Last Year
a. Academic reason(s)	_____	_____
b. Further Study	_____	_____
c. Disability	_____	_____
d. Other (specify) _____	_____	_____

I. TEACHING

Number of:

11. Special activities provided for students experiencing academic difficulty: _____

12. Special activities provided for honor students: _____

13. Times professional individuals brought on campus: _____

Spring Semester

Fall Semester

14. Hours available for student advising: _____

15. Advisees: _____

16. Semester hours taught: _____

17. Different course taught: _____

18. Student taught: _____

19. Contact hours: _____

FORM B

-3-

II. RESEARCH AND CREATIVE ACTIVITIES

Number of:	Last Year	Prior to Last Year
20. Publications:		
a. Books	_____	_____
b. Refereed publications	_____	_____
c. Non-refereed	_____	_____
d. With students	_____	_____
21. Research proposals that were:		
a. Submitted for the first time		
b. Subsequently submitted	_____	_____
c. Funded	_____	_____
d. Total amount of funds	_____	_____
22. Grant proposals that were:		
a. Submitted for the first time		
b. Subsequently submitted	_____	_____
c. Funded	_____	_____
d. Total amount of funds	_____	_____
23. Times presented at:		
a. International professional conference	_____	_____
b. National professional conference	_____	_____
c. State/local professional conference	_____	_____
d. Institutions of higher education	_____	_____
e. Professional conference for students	_____	_____
24. Times contributed to the arts in:		
a. Juried exhibitions and/or shows	_____	_____
b. Recitals	_____	_____

III. SERVICES

A. College	Attended	Performed Special Function	Did not Attend
25. Convocation	_____	_____	_____
26. Founder's Day	_____	_____	_____
27. Parents' Weekend	_____	_____	_____
28. Honors Day	_____	_____	_____
29. Commencement	_____	_____	_____
30. Black Family Conference	_____	_____	_____

31. Faculty Institute _____

FORM B

-4-

Number of:

32. Student groups to whom you were an official advisor of consultant: _____
33. Times you officially met with or consulted student groups: _____
34. Times participated in student sponsored academic/cultural events: _____
35. Times participated in college-sponsored academic/cultural events (other than those listed in number 25-31): _____
36. Departmental committees in which you:
- Were a member: _____
 - Held a leadership position: _____
37. School/Division committees in which you:
- Were a member: _____
 - Held a leadership position: _____
38. Times participated in staff organized cultural/professional activities: _____

B. Local State and National

Number of:

39. Professional organization in which you:
- Were a member: _____
 - Held a leadership position: _____
40. Different types of organizations to which you were a consultant:
- Governmental: _____
 - Professional: _____
 - Institutions of higher education other than Hampton University: _____
 - Public school system: _____

IV. PROFESSIONAL DEVELOPMENT

Number of:

41. Semester hours completed for further study last year: _____
42. Workshops or seminars sponsored by Hampton University in which you participated: _____
43. Workshops or seminars not sponsored by Hampton University in which you participated: _____
44. Semester hours of further study that have been completed since last degree: _____

**Hampton University, Hampton, Virginia
Hampton University Administrative Assessment Scale**

DEAN'S EVALUATION OF CHAIRPERSONS / COORDINATORS

Use the assessment scale indicated for self-evaluation or evaluation of Chairperson, Dean, Directors, or other administrators. Fill in the space corresponding to your rating for each item. IF not applicable (N/A), leave the question BLANK.

NOTE: Supportive statements are necessary for ratings of POOR and OUTSTANDING. (Use space provided.)

ALL QUESTIONS RELATE TO HOW WELL THE PERSON BEING EVALUATED DEMONSTRATES PERFORMANCE IN THE SPECIFIED AREA OR TRAIT.

INDIVIDUAL EVALUATED	POSITION	DATE

I. ADMINISTRATIVE / FISCAL MANAGEMENT

					OUTSTANDING
					ABOVE AVERAGE
					AVERAGE
					BELOW AVERAGE
					POOR
1. Follows systematic university management procedures in collaboration with appropriate individuals in decision making.					
2. Acts decisively in decision-making.					
3. Acts equitably in decision-making.					
4. Delegates responsibility appropriately.					
5. Communicates and works effectively with all constituents of the university.					
6. Manages fiscal resources within established budgets.					
7. Exhibits leadership in enrollment management.					
8. Promotes preventive maintenance and up-keep of physical facilities and equipment.					
9. Implements school-wide plan to insure procurement of 1/3 operating budget.					
10. Submits proposals to funding agencies for support of educational programs and research.					

VI. EXTERNAL RELATIONS (cont)

	OUTSTANDING			
	ABOVE AVERAGE			
	AVERAGE			
	BELOW AVERAGE			
	POOR			
46. Evidence of professional travel to include but not limited to the following: to establish collaborative relationships, to develop partnerships, to secure grantsmanship, to network, and to promote school/university programmatic initiatives.				
47. Works closely with the School's Advisory Board (where it exists) and Development Office to expand external relations and fundraising efforts.				
48. Markets the university and school.				
49. Displays evidence of effective community involvement and leadership, creative activities and services.				

Supportive Statement: _____

VII. COMMENTS (If any): Administrative strengths: _____

VIII. COMMENTS (If any): Administrative weaknesses: _____

NAME (optional)

Department

Date

**Hampton University, Hampton, Virginia
Hampton University Administrative Assessment Scale**

FACULTY EVALUATION OF CHAIRPERSONS/COORDINATORS

Use the assessment scale indicated for self-evaluation or evaluation of Chairperson, Dean, Directors, or other administrators. Fill in the space corresponding to your rating for each item. IF not applicable (N/A), leave the question BLANK.

NOTE: Supportive statements are necessary for ratings of POOR and OUTSTANDING. (Use space provided.)

ALL QUESTIONS RELATE TO HOW WELL THE PERSON BEING EVALUATED DEMONSTRATES PERFORMANCE IN THE SPECIFIED AREA OR TRAIT.

INDIVIDUAL EVALUATED	POSITION	DATE

I. ADMINISTRATIVE / FISCAL MANAGEMENT

	OUTSTANDING			
	ABOVE AVERAGE			
	AVERAGE			
	BELOW AVERAGE			
	POOR			
1. Follows systematic university management procedures in collaboration with appropriate individuals in decision making.				
2. Acts decisively in decision-making.				
3. Acts equitably in decision-making.				
4. Delegates responsibility appropriately.				
5. Communicates and works effectively with all constituents of the university.				
6. Manages fiscal resources within established budgets.				
7. Exhibits leadership in enrollment management.				
8. Promotes preventive maintenance and up-keep of physical facilities and equipment.				
9. Implements school-wide plan to insure procurement of 1/3 operating budget.				
10. Submits proposals to funding agencies for support of educational programs and research.				

Supportive Statement: _____

VI. EXTERNAL RELATIONS (cont'd)

	OUTSTANDING				
	ABOVE AVERAGE				
	AVERAGE				
	BELOW AVERAGE				
	POOR				
46. Evidence of professional travel to include but not limited to the following: to establish collaborative relationships, to develop partnerships, to secure grantsmanship, to network, and to promote school/university programmatic initiatives.					
47. Works closely with the School's Advisory Board (where it exists) and Development Office to expand external relations and fundraising efforts.					
48. Markets the university and school.					
49. Displays evidence of effective community involvement and leadership, creative activities and services.					

Supportive Statement: _____

VII. COMMENTS (If any): Administrative strengths: _____

VIII. COMMENTS (If any): Administrative weaknesses: _____

NAME (optional)

Department

Date

Hampton University, Hampton, Virginia
Hampton University Administrative Assessment Scale

CHAIRPERSON’S EVALUATION OF DEANS

Use the assessment scale indicated for self-evaluation or evaluation of Chairperson, Dean, Directors, or other administrators. Fill in the space corresponding to your rating for each item. IF not applicable (N/A), leave the question BLANK.

NOTE: Supportive statements are necessary for ratings of POOR and OUTSTANDING. (Use space provided.)

ALL QUESTIONS RELATE TO HOW WELL THE PERSON BEING EVALUATED DEMONSTRATES PERFORMANCE IN THE SPECIFIED AREA OR TRAIT.

INDIVIDUAL EVALUATED	POSITION	DATE
----------------------	----------	------

	OUTSTANDING				
	ABOVE AVERAGE				
	AVERAGE				
	BELOW AVERAGE				
	POOR				
I. ADMINISTRATIVE / FISCAL MANAGEMENT					
1. Follows systematic university management procedures in collaboration with appropriate individuals in decision making.					
2. Acts decisively in decision-making.					
3. Acts equitably in decision-making.					
4. Delegates responsibility appropriately.					
5. Communicates and works effectively with all constituents of the university.					
6. Manages fiscal resources within established budgets.					
7. Exhibits leadership in enrollment management.					
8. Promotes preventive maintenance and up-keep of physical facilities and equipment.					
9. Implements school-wide plan to insure procurement of 1/3 operating budget.					
10. Submits proposals to funding agencies for support of educational programs and research.					

Supportive Statement: _____

II. INSTITUTIONAL LEADERSHIP	OUTSTANDING				
	ABOVE AVERAGE				
	AVERAGE				
	BELOW AVERAGE				
	POOR				
11. Assumes leadership of institutional committees.					
12. Maintains the academic standard of the university.					
13. Enhances the prestige of the university through research, services, creative and scholarly activities.					
14. Participates in non-mandatory cultural and professional activities of the school and university.					
15. Assumes responsibility for institutional committee objectives.					
<i>Supportive Statement:</i> _____					

III. PERSONNEL MANAGEMENT					
16. Implements well defined orientation for new and continuing personnel at the beginning of the year regarding expectations relative to teaching, service, research and creative activities.					
17. Employs human relations techniques in resolving conflicts.					
18. Provides/seeks opportunities for growth of administrative personnel, faculty and staff.					
19. Implements strategies for retraining and / or relocating faculty / staff as needed.					
20. Displays respect for and encourages individuals to express their ideas, opinions and viewpoints.					
21. Recognizes and rewards faculty achievements.					
22. Evaluates performance of faculty members giving commendation for good work as well constructive suggestions for improvement.					

VI. EXTERNAL RELATIONS (cont'd)

	OUTSTANDING			
	ABOVE AVERAGE			
	AVERAGE			
	BELOW AVERAGE			
	POOR			
46. Evidence of professional travel to include but not limited to the following: to establish collaborative relationships, to develop partnerships, to secure grantsmanship, to network, and to promote school/university programmatic initiatives.				
47. Works closely with the School's Advisory Board (where it exists) and Development Office to expand external relations and fundraising efforts.				
48. Markets the university and school.				
49. Displays evidence of effective community involvement and leadership creative activities and services.				

Supportive Statement: _____

VII. COMMENTS (If any): Administrative strengths: _____

VIII. COMMENTS (If any): Administrative weaknesses: _____

NAME (optional)

Department

Date

Hampton University, Hampton, Virginia
Hampton University Administrative Assessment Scale

FACULTY EVALUATION OF DEANS/DIRECTORS

Use the assessment scale indicated for self-evaluation or evaluation of Chairperson, Dean, Directors, or other administrators. Fill in the space corresponding to your rating for each item. IF not applicable (N/A), leave the question BLANK.

NOTE: Supportive statements are necessary for ratings of POOR and OUTSTANDING. (Use space provided.)

ALL QUESTIONS RELATE TO HOW WELL THE PERSON BEING EVALUATED DEMONSTRATES PERFORMANCE IN THE SPECIFIED AREA OR TRAIT.

INDIVIDUAL EVALUATED	POSITION	DATE
----------------------	----------	------

I. ADMINISTRATIVE / FISCAL MANAGEMENT

	OUTSTANDING				
	ABOVE AVERAGE				
	AVERAGE				
	BELOW AVERAGE				
	POOR				
1. Follows systematic university management procedures in collaboration with appropriate individuals in decision making.					
2. Acts decisively in decision-making.					
3. Acts equitably in decision-making.					
4. Delegates responsibility appropriately.					
5. Communicates and works effectively with all constituents of the university.					
6. Manages fiscal resources within established budgets.					
7. Exhibits leadership in enrollment management.					
8. Promotes preventive maintenance and up-keep of physical facilities and equipment.					
9. Implements school-wide plan to insure procurement of 1/3 operating budget.					
10. Submits proposals to funding agencies for support of educational programs and research.					

Supportive Statement: _____

45. Serves as spokesperson for the School with all appropriate constituencies.

VI. EXTERNAL RELATIONS (cont'd)

OUTSTANDING
ABOVE AVERAGE
AVERAGE
BELOW AVERAGE
POOR

- 46. Evidence of professional travel to include but not limited to the following: to establish collaborative relationships, to develop partnerships, to secure grantsmanship, to network, and to promote school/university programmatic initiatives.
- 47. Works closely with the School's Advisory Board (where it exists) and Development Office to expand external relations and fundraising efforts.
- 48. Markets the university and school.
- 49. Displays evidence of effective community involvement and leadership, creative activities and services.

Supportive Statement: _____

VII. COMMENTS (If any): Administrative strengths: _____

VIII. COMMENTS (If any): Administrative weaknesses: _____

NAME (optional)

Department

Date

APPENDIX J

DOCUMENTATION FOR PROMOTION AND TENURE

Teaching

A primary mission of Hampton University faculty members is quality teaching. Therefore, in order to receive tenure and promotion, the candidate must document the quality of his/her teaching. Such documentation might include factors such as **teaching effectiveness, productivity, and teaching innovations**. The following are examples of materials which might be used to document the quality of teaching:

Teaching Effectiveness

- Summaries of course and instructional evaluations
- Peer reviews
- Student awards, honors and other recognition
- Awards, honors and commendations for excellence in teaching

Teaching Productivity

- Publications in teaching specialty
- Instructional modules, media packages, etc.
- Individual research and funded grants in teaching area

Teaching Innovation

- New curriculum approaches
- Non-conventional instructional strategies
- Non-traditional learning experiences

Professional Service

To receive consideration for tenure or promotion in the area of service, the candidate must document the quality of his/her professional service. Such documentation should reveal the impact of the service on students, the University and the broader academic community. A description of criteria and materials which might be used to document the quality of service follows:

University Service

- Identification of distinctive contributions to the Department, School and University
- Letters of recognition, program reviews relative to work at Hampton University
- Identification of distinctive contributions on-campus committees
- Identification of distinctive contributions to students and student activities

Local/State Service

- Evidence of distinctive service at local and state levels
- Recognition through leadership roles in professional organizations at local and state levels
- Letters of special recognition and awards for professional service
- Official commendations

National and International Service

- Evidence of distinctive service at national and international levels
- Recognition through leadership roles in professional organizations at the national and international levels

Departmental and School Service

- Evidence of commitment to department, school and college goals
- Evidence of positive attitudes toward student growth and development
- Evidence of positive attitudes toward colleagues, staff and administrators
- Evidence of stewardship in the utilization of personal, financial and physical resources granted by the college

Scholarly/Creative Productivity

While Hampton University is committed to quality teaching, faculty members are expected to bring distinction to themselves, their students and the University by developing a professional balance between teaching and scholarly productivity. There are many opportunities for mutually supporting activities in research and teaching. Within the broad scope of scholarly activities, there is ample opportunity for faculty members from diverse areas to select those activities most appropriate to their disciplines. Research is required for

promotion and tenure. Examples of materials which might be used to document scholarly activity are as follows:

Research

- Documentation of experimental research published in refereed journals
- Documentation of reviews of research activities by colleagues in the profession
- Documentation of funds secured through funding agencies to conduct research

Professional Development and Funded Projects

- Identification of professional activities through publications of articles, monographs, etc.
- Identification of reviews and publications of professional articles in national and/or local refereed publications
- Identification of book reviews published
- Identification of funded grants received through individual initiative
- Leadership in professional organization, conferences, workshops at local, state and national levels

Creative Activities

- Identification of creative works cited or published in refereed journals
- Critique of reviews of creative works
- Publications of creative works in recognized organizations in the discipline

TENURE DOSSIER

The dossier for tenure should include the following information:

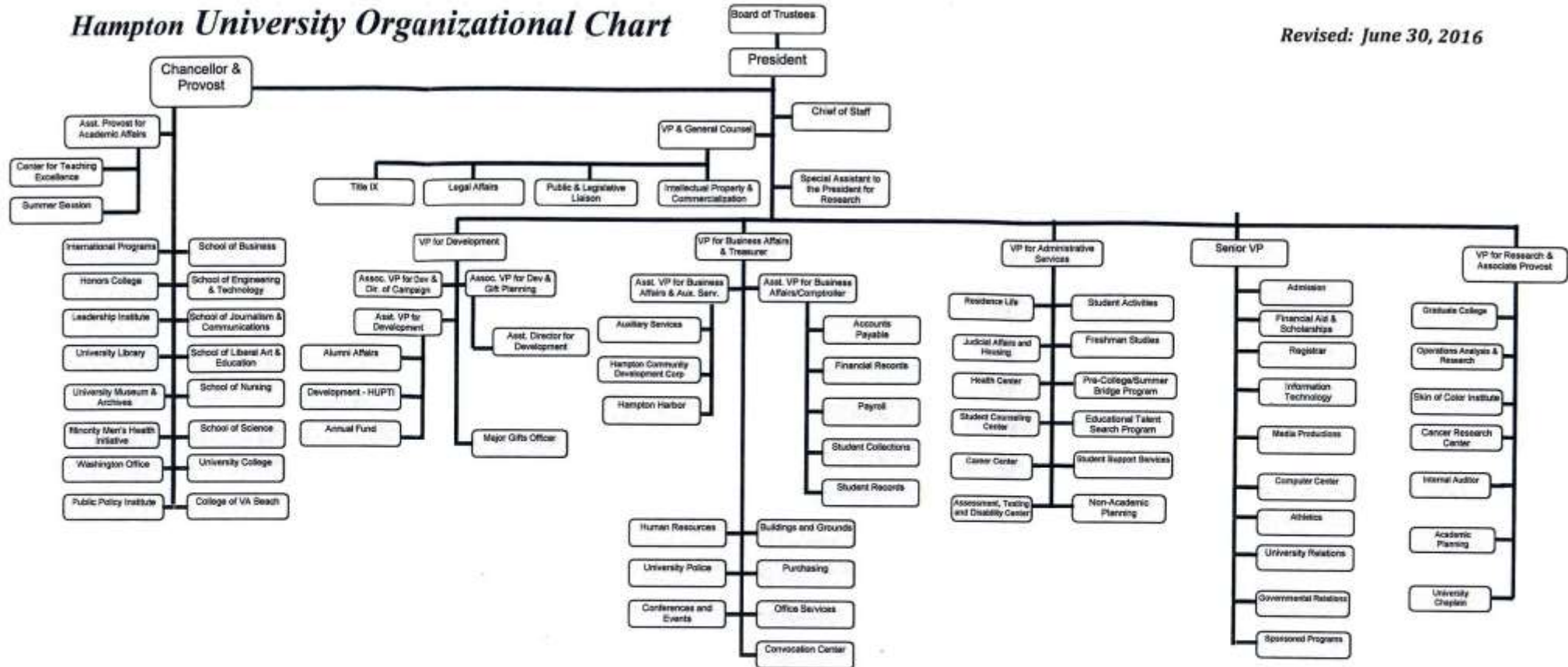
1. Candidate's Summary Evaluation Statement on teaching, research/creative activities and professional service.
2. Applicant's identification of area(s) of distinction, while demonstrating above-average ability in remaining areas.
3. Chairperson's Summary Evaluation Form
4. Dean's/Director's Summary Evaluation Form

APPENDIX J (cont'd.)

5. Documentary evidence of quality in:
 - a. Teaching
 - b. Research
 - c. Scholarly/creative productivity
 - d. Professional service
6. Letters received by the dean from external references (a maximum of five (5) letters).
7. Supporting documents from chairperson
 - a. Course/Instructor Evaluation (last three (3) years)
 - b. Confidential Faculty Performance Reviews (last three (3) years)
8. Other documents deemed appropriate from the chairperson and dean
9. Other appropriate documents from the candidate

Hampton University Organizational Chart

Revised: June 30, 2016



FACULTY BYLAWS
Article I - The Faculty

APPENDIX L

1. The faculty shall consist of the President, the Executive Vice President and Provost, full-time Professors, Associate Professors, Assistant Professors, Instructors, and Lecturers. The President, at his discretion, may designate other professionals as faculty.
2. The term “faculty” refers to individuals with professorial rank, professional librarians, administrators with faculty rank and to other professionally qualified persons whom the President, at his discretion, assigns faculty status. All full-time, professionally qualified persons with faculty status shall be eligible to serve on Standing Committees of the Faculty, in “Other Faculty Positions,” and have voting privileges on academic matters.
3. Professionally qualified persons in support units, such as the William R. and Norma B. Harvey Library, Student Counseling Center, Center for Teaching Excellence, Research Centers, Center for Information Technology, Testing Services, International Office, the Assessment Center, the Honors College, and the University Museum and Archives shall be eligible to serve on standing faculty committees, and in “other faculty positions” and shall have voting privileges on academic matters.
4. Adjunct faculty, part-time faculty, and persons on special projects and restrictive contracts, unless granted faculty status, shall not serve on standing faculty committees nor in other faculty positions nor have voting privileges on faculty matters.
5. The Faculty shall be responsible, within the policies established by the Board of Trustees, for developing and evaluating programs of instruction and student personnel services; establishing standards of scholarship for admission, retention, and graduation; authorizing courses and sequences of study; establishing standards of student behavior and discipline; and for recommending candidates for degrees.

Article II - Officers of the Faculty

1. The President of Hampton University shall be the Chairperson of the Faculty. He/she shall preside at faculty meetings and perform other duties customary for a chairperson.
2. The Executive Vice President and Provost shall be the Executive Officer of the Faculty and shall be responsible for implementing actions taken by the faculty. In the absence of the President, he/she shall preside at faculty meetings.
3. In the absence of the President and Executive Vice President and Provost, the Chairperson Pro Tempore of the Faculty shall preside.
4. The Secretary of the Faculty shall keep minutes of faculty meetings, serve as a member/secretary of the Committee on Committees, and shall perform such other duties as designated by the President and/or the Executive Vice President and Provost.

Article III - Meetings

1. The Faculty shall meet once each month during the academic year, and also on call of the Chairperson and Secretary, or on call of ten or more members. In the event that special meetings are called, petition for a special meeting shall be presented to the Chairperson of the Faculty. Should the Chairperson not be able to accept it, it shall be presented, in order, to: (1) the Executive Vice President and Provost, (2) the Chairperson Pro Tempore of the Faculty, (3) any school/college. Before accepting the petition, any such person should ascertain that this order has been followed. He/she shall then arrange to notify the faculty, at the earliest opportunity, of the time and place of the meeting, which shall be held no later than two days after receipt of the petition.
2. Robert's Rules of Order (current edition) shall govern the conduct of all meetings.
3. Fifty-one (51%) percent of those currently serving on the faculty shall constitute a quorum.

Article IV - Committees/Boards

1. The Standing Committees of the Faculty shall be as follows:
 - A. Advisory Committee on the Libraries and Informational Services
 - B. Committee on Academic Personnel
 - C. Committee on Admissions
 - D. Committee on Athletics
 - E. Committee on Board Relationships
 - F. Committee on the Bookstore
 - G. Committee on Committees
 - H. Committee on Faculty Research
 - I. Long Range Planning Council
 - J. Committee on the Instructional Program
 - K. Committee on Scholarship Standards
 - L. Liaison Committee with President
 - M. University Judiciary Board
2. For the facilitation of any faculty function, special ad hoc committees may be elected by the faculty or appointed by the Chairperson at any time.
3. Selection and Organization:
 - A. Annual elections shall be held to fill all vacancies on Standing Committees of the Faculty and "Other Faculty Positions" -- in accordance with Article VI.

- B. Membership of Standing Committees of the Faculty normally shall include one faculty representative from each school/college, as well as, representatives from other appropriate constituencies needed to provide broad-based and specific talent to properly carry out assigned tasks and duties.
- C. Each ex-officio committee member shall serve for a term that coincides with the term of her/his administrative/executive position. Elected/appointed committee representatives shall serve for two or three-year staggered terms as specified in the committee "restrictions" paragraphs in Section 4 of Article IV. Elected/appointed individuals shall not serve consecutive terms on the same committee, and shall not serve on more than one standing committee at the same time.
- D. Vacancies occurring between annual elections, as a result of persons leaving the University, shall be filled as follows: (1) for At-Large and school/college representatives, the runner-up in the previous annual election will fill the vacancy; (2) if there is no runner-up for the position, the Committee on Committees will take the necessary measures to fill the vacancy.
- E. Students who serve on committees, shall be selected annually by the Student Government Association and/or as arranged through the Vice President for Administrative Services. The Director of the Honors College shall arrange the selection of Honors College student representatives to the Committee. The Director of Alumni Affairs shall coordinate the selection of alumni representatives to committees.
- F. The Executive Vice President and Provost shall serve ex-officio on all standing committees to which he/she is not a full member. An Assistant Provost shall represent the Executive Vice President and Provost, as appropriate, at committee meetings.
- G. The Executive Vice President and Provost or his/her representative shall call a meeting of each committee, within two weeks following return for the fall semester for the purpose of electing a chairperson and a secretary (where not specified in the Bylaws), and to discuss procedures to be followed with regard to meeting times, places, and other pertinent items.
- H. Following each committee meeting, one copy of the minutes of the meeting shall be submitted to the Executive Vice President and Provost; a second copy shall be submitted to the Secretary of the Faculty.
- I. Each standing committee shall make a written summary annual report to the faculty at the last regularly scheduled faculty meeting of the academic year--usually in April; sometimes in May.

4. Personnel and Functions of Standing Committees/Boards:

A. Advisory Committee on the Libraries and Informational Services

1. **Membership:** Executive Vice President and Provost (Ex-Officio); Director of the Harvey Library; Director of the Center for Information Technology; Director of Computer Center; Director of University Museum; University Archivist; one faculty representative from each school/college; one faculty representative from the Graduate Council; one student representative from the Honors College.
2. **Restrictions:** Three-year staggered terms for school/college and Graduate College representatives; one-year term for student representative.
3. **Purpose and Duties:** The Advisory Committee on the Libraries and Informational Services shall: (1) review documentation and recommendations related to the libraries and other informational resources of the University; (2) advise the Executive Vice President and Provost and heads of informational units on matters concerning: (a) policy changes or innovative ideas which influence the functions and services of the libraries, (b) future needs of the University regarding short-term and long-term planning, (c) fundraising for needed resources, and (d) national trends in programs related to access, sharing, and dissemination of informational resources, and the delivery of services.

B. Committee on Academic Personnel

1. **Membership:** Executive Vice President and Provost, who serves as chairperson; one faculty representative from each school/college; three At-Large representatives.
2. **Restrictions:** Two-year staggered terms for elected/selected representatives; school/college representatives shall be tenured; At-Large representatives shall be non-tenured.
3. **Purpose and Duties:** The Committee on Academic Personnel shall receive documentation and recommendations, hold hearings (if necessary), and make recommendations to the Executive Vice President and Provost on matters concerning academic rights and freedom, including promotion and tenure. The Committee does not review cases involving dismissal for cause; however, it is responsible for making recommendations to the President on the composition of the Committee on Faculty Dismissal.

C. Committee on Admissions

1. **Membership:** Executive Vice President and Provost (Ex-Officio); Dean of Admission; Director of the Student Counseling Center; Director of Testing Services; Registrar; one faculty representative from each school/college; two student representatives (one junior, one senior).
2. **Restrictions:** Three-year staggered terms for school/college representatives; one-year terms for student representatives.
3. **Purpose and Duties:** The Committee on Admissions shall formulate requirements for admission/readmission and standards governing the selection of undergraduate students for admission/readmission to Hampton University.

D. Committee on Athletics

1. **Membership:** Executive Vice President and Provost (Ex-Officio); Vice President for Business Affairs and Treasurer; Dean of Admission; Dean of Judicial Affairs and Housing; Dean of Residence Life; Director of Athletics; Director of University Relations; one faculty representative from each school/college (one of whom is from the Department of Health, Physical Education and Recreation); one alumni representative; two student representatives (one junior, one senior).
2. **Restrictions:** Three-year staggered terms for school/college and alumni representatives; one-year term for student representatives.
3. **Purpose and Duties:** The Committee on Athletics shall: (1) formulate standards and adopt procedures for the intercollegiate athletic program of the University; (2) have responsibility for, and control of, the intercollegiate athletic program, in cooperation with the Chairperson of the Faculty, including approving scheduled or non-scheduled athletic contests, and supervising athletic programs; (3) make recommendations for special events, such as Homecoming and recognition of athletes/athletics; and (4) investigate irregularities in athletic programs.

E. Committee on Board Relationships

1. **Membership:** Executive Vice President and Provost (Ex-Officio); one faculty representative from each school/college; one Graduate Council representative; two At-Large faculty representatives.
2. **Restrictions:** Three-year staggered terms for school/college and Graduate Council representatives. At least five of the faculty representatives must be in the upper two professorial ranks.

3. **Purpose and Duties:**

The Committee on Board Relationships shall: (1) serve as representatives of the faculty At-Large to engage in discussion with the Board Committee on Academic Affairs on issues of import to the life of Hampton University; (2) meet with the Board Committee at least twice per year; (3) solicit business from individual faculty members at School or University faculty meetings or by other methods judged necessary by the Committee; (4) seek input from Faculty Committees; and (5) seek regular meetings with the President and the Executive Vice President and Provost.

F. Committee on the Bookstore

1. **Membership:** Executive Vice President and Provost (Ex-Officio); Vice President for Business Affairs and Treasurer; Director of the Bookstore; one faculty representative from each school/college; two student representatives (one junior, one senior).

2. **Restrictions:** Three-year staggered terms for school/college representative; one-year terms for student representatives.

3. **Purpose and Duties:** The Committee on the Bookstore shall ensure that the Bookstore organizational structure, products/services rendered, and operating procedures are adequately formulated and implemented to meet the needs of the Hampton University community.

G. Committee on Committees

1. **Membership:** University President (Ex-Officio); Executive Vice President and Provost (Ex-Officio); Secretary of the Faculty, who serves as committee secretary; one faculty representative from each school/college; one faculty representative from the Harvey Library.

2. **Restrictions:** Three-year staggered terms for school/college and library representatives.

3. **Purpose and Duties:** The Committee on Committees shall (1) prepare and distribute a slate of candidates and ballots to be used in annual at-large elections to fill vacancies on Standing Committees of the Faculty and Other Faculty Positions; conduct at-large elections as set forth in Article VI, and announce election results to the faculty; (2) coordinate with deans, directors, and other officials of appropriate units regarding expected vacancies in Committee positions and needed replacement representatives from their constituencies; (3) appraise the work of standing and special committees of the faculty and make appropriate recommendations to the faculty; (4) consult, on request, with committees, with committee chairpersons, and/or with the Chairperson of the Faculty and/or Executive Vice President and

Provost for clarification of the functions and procedures of the faculty and its committees; and (5) review proposed amendments to the Faculty Bylaws.

H. Committee on Faculty Research

1. **Membership:** Executive Vice President and Provost (Ex-Officio); Vice President for Research and Associate Provost, Dean of the Graduate College, one faculty representative from each school/college, one faculty representative from the Harvey Library.
2. **Restrictions:** Three-year staggered term for school/college and library representatives.
3. **Purpose and Duties:** The Committee on Faculty Research shall (1) evaluate proposals and make grants for faculty research; (2) facilitate opportunities to carry on research; (3) distribute a statement of the studies and experiments completed during the previous year and of those currently in progress; (4) encourage systematic research studies and experiments; (5) strive to stimulate research viewpoints and interests; and (6) collaborate, as appropriate, with the Executive Vice President and Provost.

I. Long Range Planning Council

1. **Membership:** Membership on the Long Range Planning Council includes the Executive Vice President and Provost (Chairperson), Vice President for Research and Associate Provost/Dean of the Graduate College, Deans of undergraduate schools/colleges, Director of Library Services, Assistant Provost for Academic Affairs/Director of Summer Session, Vice President for Business Affairs and Treasurer, and the Vice President for Administrative Services.
2. **Restrictions:** Administrative representatives shall serve by virtue of their positions and term of office.
3. **Purpose and Duties:** The Long Range Planning Council is a critical component of the University-wide strategic planning process, with the responsibility for the review of proposed curricular revisions. These revisions include new courses, new programs, revisions to course titles or descriptions, revisions of discipline-specific requirements, and revisions needed to meet accreditation requirements.
4. **Procedures:** Proposals for program/course revisions must include the specific intended student learning outcomes and measurable competencies for the proposed degree program or course. Proposed curricular revisions receiving approval by the Long Range Planning Council are forwarded to the

Committee on the Instructional Program and finally to the full faculty for its approval.

J. Committee on the Instructional Program

1. **Membership:** Executive Vice President and Provost (Ex-Officio), Vice President for Research and Associate Provost (Ex-Officio), Registrar; Deans of Undergraduate schools/colleges, Director of Harvey Library, Director of Freshman Studies, Director of the Summer Session, Director of the Honors College, one faculty representative from each school/college, three student representatives (one sophomore, one junior, one senior).
2. **Restrictions:** Three-year staggered terms for school/college representatives; one-year term for student representatives.
3. **Purpose and Duties:** The Committee on the Instructional Program shall (1) analyze the instructional program and academic policies, and recommend to the faculty, revisions in the curricula; (2) establish minimum criteria which departments satisfy in honors programs to ensure congruency with established criteria; (3) meet with the Academic Affairs Committee of the Board at least twice per year to discuss matters of mutual concern; and (4) keep informed on matters concerning the instructional program under consideration by the Board and/or Faculty and, at its discretion, bring these matters to the attention of the faculty. Three members shall be chosen by the Committee to act as a liaison committee with the Academic Affairs Committee of the Board.

K. Committee on Scholarship Standards

1. **Membership:** Executive Vice President and Provost (Ex-Officio), Director of the Student Counseling Center, Director of Athletics, Director of Financial Aid, Registrar, Director of the Honors College, one faculty representative from each school/college, two student representatives (one junior, one senior).
2. **Restrictions:** Three-year staggered terms for school/college representatives; one-year term for student representatives.
3. **Purpose and Duties:** The Committee on Scholarship Standards shall (1) formulate regulations to govern the academic conduct of all undergraduate students; (2) recommend requirements for retention, classification, promotion and graduation of undergraduate students; and (3) adjudicate appeals of undergraduate students for academic reasons.

L. Liaison Committee with the President

1. **Membership:** University President who serves as chairperson, Executive Vice President and Provost (Ex-Officio), one faculty representative from each school/college, three At-Large faculty representatives.
2. **Restrictions:** At least one-half of the faculty representatives shall be in the upper two professorial ranks.
3. **Purpose and Duties:** The Liaison Committee with the President shall (1) offer advice on matters related to the faculty and the educational program of the University which the President brings to the committee for consideration; and (2) bring to the President matters which the faculty directs it to transmit to the President.

M. University Judiciary Board

1. **Membership:** Executive Vice President and Provost (Ex-Officio); four At-Large faculty representatives (one professor, one associate professor, one assistant professor, one instructor) one administrative representative (who is not a member of the student personnel staff, who shall be appointed by the Executive Vice President and Provost and approved by the President, four student representatives (one freshman, one sophomore, one junior, one senior).
2. **Restrictions:** Faculty/administrative representatives shall serve two-year terms; student representatives shall serve one-year terms and will participate only in cases involving students.
3. **Purpose and Duties:** The University Judiciary Board shall (1) adjudicate cases referred to it by the Office of the Vice President for Administrative Services and/or the Executive Vice President and Provost involving damage to property owned/operated by the University and/or cases involving violations of civil or criminal law(s) on campus; and (2) have authority to subpoena witnesses, to make judgments concerning guilt and to direct appropriate punishment up to and including expulsion from the University.
4. **Procedures:** (1) The filing of charges for student misconduct and the processing of cases through the Offices of the Deans of Judicial Affairs and Housing, and Residence Life shall be the same as listed in the Student Handbook under the Administrative Hearing Committee (which handles student violations of University policies); (2) the filing of charges and the processing of cases for faculty misconduct shall be the same *except* it shall go through the Office of the Executive Vice President and Provost rather than through the Offices of the Deans of Judicial Affairs and Housing, and Residence Life; and (3) appeals may be made to the Administrative Appeals

Committee. Conditions and procedures for appeals by students are listed in the Student Handbook under Administrative Appeals Committee; appeals by faculty follow the same procedures *except* they shall be processed through the Office of the Executive Vice President and Provost rather than the Vice President for Administrative Services.

Article V - Other Faculty Positions

1. The Faculty shall tri-annually elect an At-Large faculty representative to serve a three-year term as Faculty Delegate to the Student Government Association and Member of the Student Affairs Council. The duties of this faculty representative shall be: (1) to attend Student Government Association meetings and Student Affairs Council meetings; (2) to keep the faculty informed, as appropriate, concerning programs and activities of the Student Government Association and the Student Affairs Council; and (3) to make a summary annual report to the faculty at the last regularly scheduled faculty meeting of the academic year (usually in April).
2. The Faculty shall annually elect an At-Large faculty representative to serve a one-year term as Faculty Trustee on the Board of Trustees. Candidates for Faculty Trustee must hold the rank of assistant professor or higher, maintain a teaching load of at least six semester hours, have been a member of the Hampton University Faculty for at least five years, and have at least two years remaining before qualifying for retirement.
3. The Faculty shall elect bi-annually an At-Large faculty member to serve a two-year term as Chairperson Pro Tempore of the Faculty with duties as prescribed in Section 3 of Article II.
4. The Faculty shall elect bi-annually an At-Large faculty member to serve a two-year term as Secretary of the Faculty with duties prescribed in Section 4 of Article II.

Article VI - Conduct of Annual Elections

1. Procedures for filling At-Large vacancies for terms to commence the following academic year on Standing Committees of the Faculty and Other Faculty Positions are listed in Articles IV and V respectively:
 - a. The Committee on Committees shall circulate a memorandum to the faculty that lists expected at-large vacancies, inviting each interested faculty member with requisite qualifications to nominate himself/herself for consideration as a potential candidate to a particular position. Such nominations must reach the Committee on Committees by the designated date.
 - b. The Committee on Committees, from the responses of interested parties, shall develop a slate of 2 to 3 (two to three) candidates for each expected vacancy that accommodates (to the maximum extent possible) the desires of parties expressing an interest in serving in particular positions, but simultaneously ensure that At-

Large representation on standing committees, and in other faculty positions, reflect a broad-based mix of faculty interests and perspectives.

- c. About two weeks prior to the February faculty meeting, the Committee on Committees shall distribute to the faculty a memorandum that provides information concerning the February elections, including candidates' biographical sketches, and the faculty members OFFICIAL BALLOT to be used for voting at the February faculty meeting.
 - d. At the February faculty meeting, there will be two boxes, monitored by Committee on Committee members; one labeled VOTER REGISTRATION into which each faculty member places his/her "voter registration memorandum" (with the name/address label still attached); and the other labeled BALLOT BOX into which his/her secret vote ballot is placed. In the event a faculty member is unable to attend the February faculty meeting, he/she may arrange to have a colleague deliver his/her "voter registration memorandum" and "secret vote ballot" to the faculty meeting for processing.
 - e. Votes shall be counted immediately following the February meeting by designated members of the Committee on Committees. Winners shall be determined by plurality vote (i.e., the largest number of the votes cast for a particular candidate to fill a particular vacancy shall determine the winner for that position).
 - f. In the event that no one candidate receives a plurality of votes cast for a particular position, a run-off election shall be conducted by the Committee on Committees at the March faculty meeting to determine the winner.
 - g. By memorandum to the Faculty, the Chairperson of the Committee on Committees shall announce the results of the February/March at-large elections.
2. Procedures for filling other than At-Large vacancies for terms to commence the following academic year on Standing Committees of the Faculty:
- a. Representatives to fill vacancies on Standing Committees of the Faculty from schools/colleges/other constituencies shall be selected/elected by their respective school/college/other constituency.
 - b. Scheduled vacancies shall be reflected by the Term-of-Position dates in the latest edition of the Hampton University Current List of Incumbents for Standing Committees/Boards of the Faculty and Other Faculty Positions.
 - c. Prior to the end of the spring semester, deans, directors and other officials of appropriate units shall advise the Chairperson of the Committee on Committees (with a copy to the Executive Vice President and Provost), the names of replacement representatives (from constituencies under their jurisdiction) who will be filling vacancies on various Standing Committees of the Faculty at the beginning

of the following academic year. The Vice President for Administrative Services shall provide the names of replacements of student representatives; the Director of Alumni Affairs shall provide the names of replacements of alumni representatives.

3. Within three weeks following the faculty's return for the fall semester, (pending the Executive Vice President and Provost or his/her designees meets with standing committees/boards to select new committee/board officers), the Chairperson of the Committee of Committees shall prepare for the Executive Vice President and Provost an updated Hampton University Current List of Incumbents for Standing Committees/Boards of the Faculty and Other Faculty Positions.
4. The Office of the Executive Vice President and Provost shall arrange for distribution to the faculty, copies of the Hampton University Current List of Incumbents for Standing Committees/Boards of the Faculty and Other Faculty Positions.

Article VII - Graduate Council

1. The Graduate Council shall be composed of the Executive Vice President and Provost; Vice President for Research and Associate Provost/Dean of the Graduate College, who serves as chairperson; Graduate Counselor; Dean of Admission; School/College Deans and Directors; Dean of University College; Director of the Summer Session; the Registrar; graduate faculty representatives, one from each department that offers a graduate degree; and two graduate student representatives elected/appointed by the Organization of Graduate Students.
2. **Restrictions:** Three-year staggered terms for faculty representatives; two-year term for student representatives.
3. **Purpose and Duties:** The Graduate Council shall: (1) formulate standards and regulations affecting all graduate curricula and work leading to a graduate degree; (2) institute and administer said standards and regulations as delegated by the Graduate Faculty; and (3) follow the guidelines in the latest version of The Graduate College Handbook and Operating Procedures.

Article VIII - Continuing Studies Policy Council

1. The University College Policy Council shall be composed of the Executive Vice President and Provost; Dean of University College, who serves as chairperson; Vice President for Research and Associate Provost; school/college deans and directors, and the University Registrar.
2. The University College Policy Council shall (1) formulate standards and regulations affecting all programs in the University College; and (2) institute and administer said standards and regulations as delegated by the faculty.

Article IX - Educational Policy on Academic Freedom

1. The central function of Hampton University is to promote learning through good teaching, research, scholarship, and service. Academic personnel accepting an appointment into this community of scholars neither surrender rights nor escape fundamental responsibilities of law abiding citizens. As educators, they are guaranteed academic freedom relative to the pursuit of teaching and research.
2. The University respects and protects the academic freedom of the Faculty and endorses portions of the 1940 Statement of Principles of the American Association of American Colleges on Academic Freedom as follows:
3. The purpose of this statement is to promote public understanding and support of academic freedom and tenure and agreement upon procedures to assure them in colleges and universities. Institutions of higher education are conducted for the common good and not to further the interest of either the individual teacher or the institution as a whole. The common good depends upon the free search for truth and its exposition.

Academic freedom is essential to these purposes and applies to both teaching and research. Freedom in research is fundamental to the advancement of truth. Academic freedom in its teaching aspect is fundamental for the protection of the rights of the teacher in teaching and of the student to freedom in learning. It carries with it duties correlative with rights.....

- (a) The teacher is entitled to full freedom in research and in the publication of the results, subject to the adequate performance of his/her other academic duties, but research for pecuniary return should be based upon an understanding with the authorities of the institution.
- (b) The teacher is entitled to freedom in the classroom in discussing his/her subject, but should be careful not to introduce into his/her teaching controversial matter which has no relation to his/her subject. Limitations of academic freedom because of religious or other aims of the institution should be clearly stated in writing at the time of the appointment.

*American Association of University Professors Bulletin, 27:40-46.

- (c) The University teacher is a citizen, a member of a learned profession, and an officer of an educational institution. When he/she speaks or writes as a citizen, he/she should be free from institutional censorship or discipline, but his special position in the community imposes special obligations. As a person of learning and an educational officer, he/she should remember that the public may judge his/her profession and his/her institution by his/her utterances. Hence, he/she 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 he/she is not an institutional spokesperson.*

Article X - Amendments

1. Any of these Bylaws, except Article III, Section 3 and Article IX, Section 3, may be suspended by the unanimous vote of those present at any meeting duly called.

2. Amendments to these Bylaws may be proposed at any regularly-scheduled faculty meeting. They shall be sent by the Secretary of the Faculty to the Committee on Committees for its recommendations at the next regular faculty meeting. After adoption by the two-thirds vote, they shall become operative, provided that they do not conflict with the Bylaws of the Board of Trustees.

Hampton University
Invention and Copyright Agreement

Name (please print or type): _____

Social Security No (last four digits): _____

In consideration of 1) my present or future employment at Hampton University; and/or 2) my participation in research at Hampton University; and/or 3) opportunities made or to be made available to me to make significant use of Hampton University funds or facilities; and/or 4) opportunities to share in royalties and other inventor/author rights outlined in the "Intellectual Property Rights Policy" dated February 5, 1999, I agree:

- A. to disclose promptly and assign to Hampton University all inventions, copyrightable materials, computer software, semiconductor maskworks, tangible research property and trademarks ("Intellectual Property") conceived, invented, authored, or reduced to practice by me, either solely or jointly with others which:
 - (i) are developed in the course of or pursuant to a sponsored research or other agreement in which I am a participant as defined in the Policy Statement of the Intellectual Property Rights Policy; or
 - (ii) result from the significant use of Hampton University funds or facilities as "significant use" is defined in the Intellectual Property Rights Policy; or
 - (iii) result from a work-for-hire funded by Hampton University as defined in the Works for Hire Section of the Intellectual Property Rights Policy; and
- B. to execute all necessary papers and otherwise provide proper assistance, at Hampton University's expense, during and subsequent to, the period of my Hampton University affiliation, to enable Hampton University to obtain, maintain or enforce for itself or its nominees, patents, copyrights or other legal protection for such Intellectual Property; and
- C. to prepare and maintain for Hampton University adequate and current written records of all such Hampton University Intellectual Property; and
- D. to deliver promptly to Hampton University when I leave Hampton University for whatever reason, and at any other time as Hampton University may request, copies of all written records referred to in Paragraph C above as well as all related memoranda, notes, records,

APPENDIX M (cont'd.)

schedules, plans or other documents, made by, compiled by, delivered to, or manufactured, used, developed or investigated by Hampton University which at all times is the property of Hampton University; and

- E. not to disclose to Hampton University or use in my work at Hampton University (unless otherwise agreed in writing with Hampton University):
 - (i) any proprietary information of any of my prior employers or of any third party, such information to include, without limitation, any trade secrets or confidential information with respect to the business, work or investigations of such prior employer or other third party; or
 - (ii) any ideas, writings, or Intellectual Property of my own which are not included in Paragraph A above within the scope of this Agreement. (Please note that inventions previously conceived, even though a patent application has been filed or a patent issued, are subject to this Agreement if they are actually first reduced to practice under the circumstances included in Paragraph A above).

This Agreement supersedes all previous agreements relating in whole or in part to the same or similar matters that I may have entered into with Hampton University. It may not be modified or terminated, in whole or in part, except in writing signed by an authorized representative of Hampton University. Discharge of my undertakings in this Agreement will be an obligation of my executors, administrators or other legal representatives or assignees.

I represent that, except as identified on the reverse side hereof, I have no agreements with, or obligations to, others in conflict with the foregoing.

Witness

Signature (To include first name in full)

Date

(To be made out and signed in quadruplicate. Distribution: original copy to the signatory's personnel file; second copy to the **signatory**; **third copy to the department/laboratory**; and **fourth copy to the Office of the Vice President for Research and Associate Provost**)

Hampton University Standard Syllabus

The Standard Syllabus is designed to identify what a student will know and be able to do as a result of his/her matriculation at Hampton University. Several processes have been developed that are unique to an established program of study, while there is one University-wide process that is applicable to all undergraduate matriculating students.

The University-wide process is captured in the eight (8) General Education Competencies and is measured in specific courses that all undergraduate students must take. The processes that are aligned to a specific program of study include (1) accrediting body standards/objectives (if required), and (2) specific program of study competencies that students within a given major must achieve; these competencies are measured in specific courses identified by the departments through which the degree programs are offered. *Every Hampton University undergraduate student prior to graduation must attain each of the core and discipline-specific competencies.*

Program Mission /Statement (Optional)

Academic Catalog Course Description

Applied Course Description – Summarize the major topics to be covered.

Required Textbook(s)

Disclaimer - It is also important to place language in your syllabus that reserves your right to modify, supplement or make changes during the semester. The following language is suggested: "**This syllabus is intended to give the student guidance in what may be covered during the semester and will be followed as closely as possible. However, the professor reserves the right to modify, supplement and make changes as the course needs arise.**"

If you need to make changes or adjustments to the syllabus during the course of the semester, make them to the benefit of the students, not to the students' detriment.

Accrediting Body Standard or Objective (Optional) – Must have specific accrediting body standard or objective with an accompanying specific intended student learning outcome with measure.

General Education or Core Competency (Goal) - For the **affected** course, must have specific general education competency with an accompanying specific intended student learning outcome with measure.

Program Competency (Goal) – For the **affected** course, must have specific program competency with an accompanying specific intended student learning outcome with measure.

General Instructional Objectives (Goals) – These are specific to the course and must have an accompanying specific intended student learning outcome with measure.

APPENDIX N (cont'd.)

Specific Intended Student Learning Outcome(s) (Outcome) - follows after the general instructional objective and must identify assessment/measurement (Measure) of the specific intended student learning outcome.

Minimum Course Competencies (Outcomes) – derived from basic knowledge required to achieve the Specific Intended Student Learning Outcome and must identify the assessment/measurement of the minimum competency. **Suggested disclaimer: Minimum competencies are not directly associated with your final grade in this course. Successful accomplishment of the minimum competencies will demonstrate your basic knowledge of selected Specific Intended Student Learning Outcomes.**

Grading Policy – Criteria for grading students' performance to include rubrics.

Expectations of Students – Enumerate expectations to include attendance, makeup/late work and Code of Conduct policies. Note: Your specific policies should be specifically outlined and strictly and consistently followed.

Course Outline - Identify dates when assignments (major projects) are to be submitted and dates of tests and examinations.

Statement of the Office of Compliance and Disability Services

The University is fully committed to complying with all requirements of the Americans with Disabilities Act of 1990 (ADA) and Section 504 of the Rehabilitation Act of 1973. In class accommodations may be provided to students with a documented physical, mental, or learning disability. It is in the student's best interest to request accommodations within the first week of classes, understanding that accommodations are not retroactive. Temporary accommodations are also available to students who may experience a temporary impairment, such as a broken limb or surgery recovery. To obtain accommodations or to receive more information, please contact the Office of the Director of Compliance and Disability Services at 757-727-5493 or visit the office located in The Assessment Center, Armstrong-Slater Building, 1st Floor.

Bibliography – Suggested or required readings.

Revised 12/16/15

FACULTY WORKLOAD/CONTACT HOURS FORM

Name:

Department:

Month:

Week	Activity	Number of Hours
1		
2		
3		
4		
5		
	Total Number of Hou	

APPENDIX O (cont'd.)

Examples of On-Campus Activities

- Instruction (including Independent Study)
- Class preparation and evaluation
- Office Hours (including student academic and career advising)
- Administration
- Research/Creative Activity

- Institutional Service (including department, school and university committee assignments)
- Grantwriting & other Fundraising activities
- Student Organizations (including student competitions, discipline-specific honors programs, etc.)
- Art & Entertainment Events (e.g. Theatre, Music, Film, Dance, Museum exhibits, etc.)
- Sporting Events
- Lectures, Seminars & Campus-wide presentations
- Town Hall Meetings
- Thesis/Dissertation supervision
- Required major University activities
- Non-mandatory University-wide and discipline specific events
- Recruitment

Examples of Off-Campus Activities

- Discipline specific Conferences
- Fund raising and Grant related meetings
- Experiential Education
- Local/National Service (e.g. Professional Boards and Committees; Schools and Community events)
- Community Lectures, Seminars & Presentations
- Professional Development (e.g. continuing education courses required for licensure)
- Recruitment Activities
- Student Academic and Artistic Competitions
- Sporting Events
- Media Appearances