

Policies and Procedures

Booklet

Available on www.upsem.net

Union Presbyterian Seminary

CHARLOTTE CAMPUS
5141 Sharon Road
Charlotte, NC 28210

RICHMOND CAMPUS
3401 Brook Road
Richmond, VA 23227

2016-2017

Mission Statement

Union Presbyterian Seminary equips Christian leaders for ministry in the world—a sacred vocation that requires deep learning, commitment to service, and an ability to read culture and circumstance in the light of the rich resources of Scripture and theological tradition.

Mission and Purpose

The Seminary's core mission is to participate in the mission of the church by forming and equipping leaders for the work of ministry, for building up the body of Christ (*Eph 4:12*).

Core Values

- We confess the Lordship of Jesus Christ. We believe that Jesus is God in the flesh, the Son of that One whom he called Father, whose life, ministry, death and resurrection have transformed the world. As the risen and living Lord, Jesus has called us to bear witness to his transformative presence in the world.
- We serve as a theological resource for church and society.
- We weave together distinctive approaches to theological education for pastoral and educational ministries.
- We educate, inspire, and empower leaders for congregational life, theological scholarship, and bold Christian service to the world.
- We seek to participate faithfully in the Holy Spirit's transformation of the seminary, the church, and through the church, the world.

Table of Contents

Policies & Procedures Booklet

[Click on link to go to policy, procedure, or checklist]

A. POLICIES AND PROCEDURES

- ❖ Acceptable Use of Technology Policy
- ❖ Alcoholic Beverage Policy
- ❖ Auditing Courses Procedure
- ❖ Awarding of Honorary Degrees at UPSem Policy
- ❖ Community Grievance & Discipline Policy
- ❖ Conditional Admission
- ❖ Conflict of Interest Procedure
- ❖ Copyright Policy
- ❖ Copyright Ownership Policy
- ❖ Credit Hour Procedure
- ❖ Expense Reimbursement Policy for Employment Candidates
- ❖ Family and Medical Leave Act
- ❖ Firearms
- ❖ Gift Acceptance Procedure
- ❖ Hiring International Students
- ❖ Housing Procedure
- ❖ Inclement Weather Procedure -- Charlotte
- ❖ Inclement Weather Procedure -- Richmond
- ❖ Inclusive Language Policy
- ❖ Institutional Protocol for Emergency Situations Procedure - Charlotte
- ❖ Institutional Protocol for Emergency Situations Procedure - Richmond-Th&Pa
- ❖ Investment Objectives, Policies and Guidelines
- ❖ Library Collection Development Policy - Charlotte
- ❖ Library Collection Development Policy-- Morton
- ❖ Movable Asset Control Procedure
- ❖ Non-Degree Seeking/Limited Enrollment Admissions
- ❖ Pet Procedure
- ❖ Plagiarism Policy
- ❖ Refund Procedure
- ❖ Seminary Auto and Insurance Procedure
- ❖ Sexual Misconduct Policy and Procedures
- ❖ Skype Room Guidelines - Richmond
- ❖ Smoking Policy
- ❖ Social Media Policy

- **Student Misconduct Policy**
- ❖ **Student Wage Employment Guidelines Procedure**
- ❖ **Students with Learning Disabilities Policy**
- ❖ **Substance Abuse Prevention Policy**
- ❖ **Use of Facilities Procedure - Charlotte**
- ❖ **Use of Facilities Procedure - Lake Chapel - Richmond**
- ❖ **Use of Facilities Procedure - Watts Chapel - Richmond**
- ❖ **Violence in the Workplace**
- ❖ **Whistleblower Protection / Speak Up Policy**

Table of Contents

B. CHECKLIST FOR:

- ❖ Acceptable Use of Technology Policy
- ❖ Alcoholic Beverage Policy
- ❖ Auditing Courses Procedure
- ❖ Awarding of Honorary Degrees at UPSem Policy
- ❖ Community Grievance & Discipline Policy
- ❖ Conditional Admission
- ❖ Conflict of Interest Procedure
- ❖ Copyright Policy
- ❖ Copyright Ownership Policy
- ❖ Credit Hour Procedure
- ❖ Expense Reimbursement Policy for Employment Candidates
- ❖ Family and Medical Leave Act
- ❖ Firearms
- ❖ Gift Acceptance Procedure
- ❖ Hiring International Students Guidelines
- ❖ Housing Procedure
- ❖ Inclement Weather Procedure -- Charlotte
- ❖ Inclement Weather Procedure -- Richmond
- ❖ Inclusive Language Policy
- ❖ Institutional Protocol for Emergency Situations Procedure - Charlotte
- ❖ Institutional Protocol for Emergency Situations Procedure - Richmond-Th&Pa
- ❖ Investment Objectives, Policies and Guidelines
- ❖ Library Collection Development Policy - Charlotte
- ❖ Library Collection Development Policy-- Morton
- ❖ Movable Asset Control Procedure
- ❖ Non-Degree Seeking/Limited Enrollment Admissions
- ❖ Pet Procedure
- Plagiarism Policy
- ❖ Refund Procedure
- ❖ Seminary Automobile and Insurance Procedure
- ❖ Sexual Misconduct Policy and Procedures
- ❖ Skype Room Guidelines - Richmond
- ❖ Smoking Policy
- ❖ Social Media Policy
- ❖ Student Misconduct Policy

- ❖ **Student Wage Employment Guidelines Procedure**
- ❖ **Students with Learning Disabilities Policy**
- ❖ **Substance Abuse Prevention Policy**
- ❖ **Use of Facilities Procedure - Charlotte**
- ❖ **Use of Facilities Procedure - Lake Chapel - Richmond**
- ❖ **Use of Facilities Procedure - Watts Chapel - Richmond**
- ❖ **Violence in the Workplace**
- ❖ **Whistleblower Protection/ Speak Up Policy**

Policies For Acceptable Use of Technology

General Statement

Recognizing the significant role that technology plays in the mission of educational institutions, the church, and society as a whole, Union Presbyterian Seminary is committed to providing and maintaining necessary computing resources for its faculty, staff and students. The purpose of this document is to provide a general overview of the expectations Union Presbyterian Seminary has for employees that use the computing resources that are owned by the institution.

Ownership and Purpose

Union Presbyterian Seminary provides computing, printing, electronic mail and internet access for most of its employees. The purpose of these tools is to assist faculty and staff in carrying out the mission of Union Presbyterian Seminary. The entire Union Presbyterian Seminary information technology system is the property of the institution, and is provided to the employee with the expectation that he/she will use these resources responsibly. Union Presbyterian Seminary retains ultimate authority and ownership rights over its computers and the data residing thereon. Union Presbyterian Seminary retains the right to access and inspect employee computer and data accounts.

This policy statement only intends to establish reasonable expectations for the use of the campus computing system and to be comprehensive in scope. It cannot possibly address every specific issue that may arise from the use or abuse of the campus network. In situations where an abuse of the system is suspected but the specific issue is not addressed in this document, it is assumed that the employee, the employee's supervisor, the human resources director or other appropriate administrative personnel will confer together to reach a resolution that is fair and consistent with the *Guidelines* employee publication.

Security

The security of the campus network and computer system is of great importance and it is essential that employees act responsibly as the "first line of defense" for the campus network.

Every employee with computer and/or e-mail access is assigned a unique login ID and a unique password. An employee's password is strictly confidential and should never be shared with a colleague, an off-campus associate or a student assistant. Contact technology services immediately if you feel the confidentiality of your password has been compromised.

Employees are responsible also for the physical security of their computers. Employees should take appropriate actions to secure their system if away from their work areas for an extended time (logging out, locking office door, etc.) Computers in

reception areas or other "high traffic" locations should be logged off and powered off at the end of the work day or when not in use.

Employees should not share any information regarding the campus computer network, their individual computers or the telephone system to those outside the community unless directed to do so by the Director of Technology Services.

E-mail

The Union Presbyterian Seminary campus e-mail system is provided as a fast and convenient communication method for faculty, staff and students to convey information to each other as well as to business colleagues off campus. The campus e-mail system is intended for business usage and Union Presbyterian Seminary expects its employees to use it in this manner.

It is always expected that Union Presbyterian Seminary employees will use the system to communicate in a courteous and professional manner, whether communicating to an on-campus or off-campus colleague.

Additionally, the following activities are examples that constitute an unacceptable use of the campus e-mail system:

- To run a personal business or to advertise items for sale
- To illegally distribute copyrighted material
- To send messages or materials that are pornographic
- To send messages or material that deride racial or ethnic groups
- To endorse political candidates or political positions
- To deride elected officials or public office holders
- To forward chain letters or other mass mailings.

Union Presbyterian Seminary recognizes that during the course of a workday, it may be necessary for an employee to communicate with family members and other personal contacts. For this reason employees are allowed, but not encouraged, to use the campus e-mail system for personal communication if done in a reasonable and responsible manner consistent with the acceptable uses of the system. It is expected that these communications take place primarily before or after work hours, or during breaks or lunch periods.

The electronic mail system and all messages and material stored in it are the exclusive property of Union Presbyterian Seminary.

Internet usage

Similar to the electronic mail system, Union Presbyterian Seminary provides most employees with internet access from their offices. This access is provided for the convenience of the employee in doing research and obtaining information that is job-related and pertinent to the business and educational functions of Union Presbyterian Seminary. Internet bandwidth is a commodity and employees are expected to use it responsibly. Campus internet access is not to be used for the following activities that interfere with an employee's performance of his or her job:

- To participate in internet chat rooms
- To access sites that are sexually explicit or graphically violent, or sites that exist solely as a means to display or distribute pornographic content.
- To access sites that exist solely to denigrate ethnic or racial groups.
- To gamble
- To engage in personal shopping or day trading activities
- To play games
- To download files (games, music, photos, graphics etc.) for personal use.

The use of campus internet access for personal business or entertainment purposes is discouraged as it uses bandwidth that would otherwise be used for business purposes. It is expected that any usage of this type will take place primarily before or after work hours, or during breaks or lunch periods.

Policy on personal software

The Technology Services Department of Union Presbyterian Seminary discourages the use of personal software loaded on computers owned and maintained by the institution. "Personal software" could be screen savers, wallpaper, calendar, or personal financial or frivolous programs that do not relate directly to the business or educational function of Union Presbyterian Seminary. Technology Services retains the right to remove any personal software that it determines is a hindrance to the proper functioning of a computer system.

Copyright policies/Software licensing

Union Presbyterian Seminary is committed to abiding by the copyright and software licensing policies associated with each piece of software owned by the institution. Employees are expected to be aware of these policies and are forbidden to copy or distribute software illegally.

Telephone usage

The campus telephone system is also considered part of the campus network and is operated and maintained by the Technology Services Department. As with the campus computer system, employees are expected to use the telephone system primarily for Union Presbyterian Seminary related business, and to act reasonably and responsibly when needing to use the system for personal calls.

Each employee is assigned a unique, confidential access code to use for making long distance telephone calls. This code should be considered the employee's own, is used for identification and billing purposes, and should not be distributed to others.

Employees are discouraged from using the telephone system for making personal long distance calls, and should only do so in emergency or other unusual circumstances, and only when using a personal long distance telephone card with a toll-free access number. In an emergency situation where an employee has no telephone card and needs to make a personal long distance telephone call, the employee is responsible for the charge and reimbursing the institution for the call.

Employees are reminded that excessive use of the telephone for personal calls or the charging of personal calls to Union Presbyterian Seminary (outside of the situation described above) is cause for disciplinary action and/or termination of employment by the institution.

Hardware and Software Purchases and Equipment Relocations

All hardware and software purchases are the responsibility of the Technology Services Department and are to be coordinated with the Director of Technology Services, who, after receiving a request in writing, will consult with the requestor and will approve the purchase or recommend a suitable alternative.

Technology services will then be responsible for pricing, ordering, receiving and installing the hardware or software to the user's satisfaction.

No computer equipment should be relocated within an office or workspace without prior consultation with the technology services department. In office moves and remodels, technology services will work with the institution's physical plant staff to determine the best location for computer equipment, based on the location of electrical outlets and network connections.

Third Party Usage

Contractors, consultants, campus guests and visitors, temporary employees and other third parties that have authorization to use the campus computer or telephone network are expected to abide by the policies outlined in this document.

Alcoholic Beverage Policy

Alcoholic beverages may not be served or consumed on campus except as follows:

RESIDENCES

Alcoholic beverages may be consumed in the privacy of on-campus residences. Such activity is deemed to be the sole responsibility of the resident and is neither condoned nor prohibited by Union Presbyterian Seminary.

PUBLIC BUILDINGS AND SPACES

Non-distilled spirits (wine or beer) may be served and/or consumed at Union Presbyterian Seminary sponsored or approved events in the Belk Center and the Rose Reception Room of the Early Center. Alcohol may be served and/or consumed at Union Presbyterian Seminary or approved events in other areas of the campus only when specifically authorized in writing by the vice president for administration.

When serving alcoholic beverages is authorized and are served, non-alcoholic beverages must also be served.

In no event may alcoholic beverages be served to or consumed by persons under the age of 21 or anyone otherwise prohibited by law from such use.

No alcoholic beverages may be sold on Union Presbyterian Seminary premises.

Intentionally Left Blank

Auditing Courses at Union Presbyterian Seminary

Auditing provides an opportunity to receive instruction in a particular course without receiving a grade or course credit. Auditors are expected to attend class sessions and may listen in class; the instructor is not required to review any written work auditors may choose to do. ECP classes, hybrid classes, Directed Study, supervised ministry, and Ph.D. seminars may not be audited. Otherwise, audit is by permission of instructor. The instructor shall also set all terms of the audit.

While not every request for audit can be approved, anyone may apply to audit a Union Presbyterian Seminary course. Students currently enrolled at Union Presbyterian Seminary shall submit their audit request through the registrar's office by the end of the official "drop/add" period of each term. All others shall submit their audit requests through the admissions office. All requests must be approved by the course instructor, who may consider several factors, including course aims and methods and class size, when responding to the request. Permission to audit can be withdrawn during a course at the discretion of the professor.

Graduates of Union Presbyterian Seminary and other RTC institutions, spouses of current Union Presbyterian Seminary students, degree-seeking students, and staff members employed by Union Presbyterian Seminary and RTC schools, as well as their spouses, may audit one course per term at no charge, as long as the course is otherwise available to auditors and as long as procedures for signing up for audit have been followed. To audit additional courses in one term, and for all other auditors, there is a non-refundable fee of \$200.

Limited enrollment students may not audit courses. Auditors who are not part of the UPSem community or RTC institutions as described above must apply for an audit by contacting the admissions office, completing an audit application and paying the \$200 auditing fee. All other UPSem audit policies appertain.

All auditors are required to be registered for the course(s) that they are auditing. Auditors who fail to register through school processes are in violation of school policy and are responsible for those violations.

Intentionally Left Blank

Protocol for the awarding of honorary degrees at Union Presbyterian Seminary

April 28, 2011

Beginning in May 2012, Union Presbyterian Seminary will confer the honorary degrees of Doctor of Divinity (ordained) or Doctor of Humane Letters (non-ordained). The honorary character of the degree will be clearly indicated on the degree.

These degrees may be conferred at convocation or commencement ceremonies in Richmond or Charlotte. Honorary degrees may not be awarded *in absentia*. In the event of an unexpected inability to appear at the scheduled time, the conferral may be postponed to the next commencement ceremony.

Honorary degrees are awarded in recognition of faithful and notable service to the church by outstanding individuals who have distinguished themselves in congregational ministry, in national or international church leadership, or by exceptional academic accomplishments. A substantial connection to UPSem is required for an honorary degree but is not in itself a sufficient qualification to receive such a degree. Currently serving members of the Board, faculty, or staff are not eligible to receive an honorary degree.

The process of nomination and conferral: the president nominates. To go forward, an advisory honorary degrees committee constituted by the Board of Trustees must affirm the nomination. The membership of the advisory committee: chair and vice chair of BOT, chair of BOT Academic Affairs committee, both deans, VP Advancement, faculty chair of FAC, and faculty chair of APC. The Board of Trustees confers the degree, upon the recommendation of the Academic Affairs committee of the BOT.

Intentionally Left Blank

COMMUNITY GRIEVANCE AND DISCIPLINE POLICY

Living Together in Community

Union Presbyterian Seminary, by its charter and by its purpose, prepares women and men for leadership and service in the church. In view of this central purpose, we enter into community with one another, under Jesus Christ's model of mutual respect and forbearance (Colossians 3:12-17). Thus, our life together in community is an important part of our preparation for ministry, as we seek to experience and embody values in our life together that will enable us to provide leadership for other communities of faith. Union Presbyterian Seminary seeks to be a Christ-centered place where we learn what it means to live together as a community of Jesus' disciples-with all the joys, challenges, tensions, and growth entailed. As we engage conflict/grievances, we do so with a view toward reconciliation, restoration, and building up the body of Christ. We value direct, face-to-face communication as we engage conflict.

In the maintenance of our communal life together, particular attention is given to four areas: Academic Honesty, Personal Behavior, Financial Accountability, and Evaluation.

A. Academic Honesty

As in all academic institutions, the effectiveness of the learning process is closely related to the honesty and timeliness of the work of both students and faculty.

1. FACULTY

a. Responsibility in Teaching and Research

Faculty bear significant responsibility for ensuring academic honesty, not only in student papers and examinations, but in their own teaching and research as well. All sources, ideas and quotations used in teaching or research are to be acknowledged publicly. Student papers and other student materials for evaluation are to be returned in a timely manner, according to the policy set forth in the Faculty Manual (Grades 3209.00). Students who question the fairness of a professor's grade may appeal by following the policy on Appeal of a Grade [Student Handbook].

2. ACADEMIC FREEDOM

The search for truth is central to the vocation of Union Presbyterian Seminary and to its faculty members, students and staff. This search for truth is the calling of both individuals and of the community as a whole.

a. Students and Staff:

The freedom necessary in this search for truth is important to students and staff, and in particular, students engaged in doctoral research shall have the freedom to conduct their research in their respective disciplines and to communicate the findings of their research. Doctoral students, in their search for truth, are free to the maximum extent that is consistent with the mission, educational objectives, and needs of Union Presbyterian Seminary, to teach, carry out research and publish. They are assured of the support of the Board of Trustees in this freedom even if their views, held in good conscience, may be unpopular ones.

b. Faculty:

The faculty members of Union Presbyterian Seminary acknowledge the responsibilities attendant upon their academic freedom. They exercise their freedom in a manner

conformable to the vows which they take at their installation as members of the instructional staff of the institution (see By-Laws, Article IV), as well as to the vows they have taken if they have been ordained as officers of the church.

Within that context, the members of the faculty exercise their responsibilities as scholars and teachers without interference, and in a climate of mutual respect and free intellectual inquiry. In their search for truth, faculty members are free to the maximum extent that is consistent with the mission, educational objectives, and needs of Union Presbyterian Seminary, to teach, carry out research and publish. They are assured of the support of the Board of Trustees in this freedom even if their views, held in good conscience, may be unpopular ones. Within the classroom, faculty members must exercise their academic freedom responsibly so as not to infringe their obligations as instructional staff to teach prescribed course content in a timely and efficient manner. One faculty member's claim to academic freedom must not subvert the overall education and training interests of the institution, or the faculty's responsibility to prescribe curriculum content and allocate faculty resources.

Beyond the classroom and the community of Union Presbyterian Seminary the faculty member is entitled to make responsible expression of his or her opinions as a citizen without prior authorization by the institution. However, in such cases the faculty member should make clear that he or she does not speak for the institution. It is important that the faculty members of the Union Presbyterian Seminary community recognize that their words and actions reflect on the school and that institutional as well as personal interests should therefore be taken into account when entering into the public arena.

3. STUDENTS

a. Timeliness

Course requirements are to be submitted on time. When a deadline cannot be met, prior contact should be made with the professor. For work to be completed after the end of a term, students must request extensions from the appropriate dean of faculty or director of graduate studies.

b. Plagiarism (See Plagiarism Policy.)

At UPSem, plagiarism is defined as the use of someone else's ideas or words without attribution in a graded event. A student who is unsure about this standard should speak directly with the professor(s) at the beginning of the course. To learn more about this policy and the process to be followed when a grading professor is concerned that plagiarism may have occurred, please see the appropriate section in the Policies and Procedures Booklet.

c. Honesty in Testing

Students are required to undergo examinations and other forms of academic evaluation. Any use of materials and/or methods other than those permitted by the professor(s) grading the course or event will constitute academic dishonesty. The academic consequences, grades and otherwise, for academic dishonesty will be determined by the grading professor(s), who may consult with their departments and/or deans. If plagiarism is found, the institution's Plagiarism Policy will be followed. Students have the right to appeal all decisions to the Academic Dean in Richmond or to the Dean of Union Presbyterian Seminary at Charlotte. A record of all confirmed cases of academic dishonesty will be maintained by the Academic

Dean in Richmond for Richmond and ECP courses, and by the Academic Dean in Charlotte for Charlotte courses.

d. Honesty in Research

(See Plagiarism Policy.)

B. Evaluation

It is in the nature of an academic institution that evaluation and assessment take place on a regular basis. This is done out of Union Presbyterian Seminary's commitment to the larger church, which looks to the institution for dependable evaluation of students seeking ordination to the ministry of Word and Sacrament or employment as professional church educators. Evaluation is also done out of regard for the standards of competence that must be maintained in order for Union Presbyterian Seminary to remain accredited and function at a high level of scholarship and stewardship. Regular evaluation and assessment, therefore, take place with regard to all members of the community: students, staff and faculty.

1. STUDENTS

Regular evaluation of students' academic performance takes place in the form of course grades, which become part of the student's permanent record. Supervised ministry or field-based learning reports and other formal faculty evaluations may become part of a student's permanent files. Before any student is granted a degree, a final faculty vote is taken on the student's acceptability for graduation [By-Laws IV, 3].

2. STAFF

Regular evaluations of employees by supervisors are carried out in accordance with established personnel procedures. (Employee Handbook: Annual Performance Evaluations)

3. FACULTY

Regular procedures are established for evaluation of faculty members prior to any promotion. A more extensive evaluation takes place when a faculty member is considered for tenure. Individual biennial or triennial conferences take place for each faculty member, in conversation with the president and the appropriate academic dean, at which time the work of the faculty member is reviewed, and plans for future teaching, research and service are considered [Faculty Manual 4403.00].

C. Personal Behavior

Life at Union Presbyterian Seminary is lived in the context of a community that is both academic and Christian. Depth of conviction and an emphasis on moral conduct are integral to the life shared here. Relationships are to be honored. Personal behavior is taken with great seriousness in a variety of relationships. In cases of personal misconduct, Union Presbyterian Seminary adheres to a policy that strives to adjudicate problems in ways that are just and fair for the community.

Personal misconduct, in this policy, is defined in relation to non-academic behavior at the Seminary. Allegations and incidents of academic misconduct, such as plagiarism, have distinct policies that may be found in the *Policies and Procedures Booklet*.

This policy, therefore, focuses on matters of *personal integrity*. Students, staff, and faculty at the Seminary are expected to conduct themselves in ways that are aligned with the Seminary's norms and

standards as they are outlined in the *Policies and Procedures Booklet*. These norms and standards support the Seminary's efforts to nurture, maintain, and strengthen an environment founded on honesty, integrity, civility, and respect.

As such, students, staff, and faculty must refrain from disruptive behavior that disregards the needs and rights of others to pursue study, work, family life, and friendships in the community.

Some examples of behavior that reflect a breach of our Seminary's norms and standards and constitute personal misconduct are:

- Discriminating against others on the basis of race, national origin, ethnicity, sex,
- religion, color, creed, disability, sexual orientation, marital status, or age.
- Harassing, intimidating, or bullying another person
- Causing physical injury to, or threatening another person
- Disrupting the peaceful or orderly conduct of lectures, meetings, and worship services led or sponsored by those with whom one may disagree
- Disrupting the peaceful or orderly living spaces for those living in campus housing
- Stealing or vandalizing property
- Plagiarizing the materials of other persons in non-academic settings, such as in leading worship on campus
- Possessing firearms, explosives, or other dangerous weapons on campus property
- Engaging in any form of criminal conduct
- Bringing complaints against a community member that are spurious, or that are intended primarily to harass or maliciously defame another person

Additional examples that pertain to personal behavior may be found in other policies of Union Presbyterian Seminary.

GUIDING PRINCIPLES FOR APPLICATION OF THIS POLICY

The effective date for this policy is May 2015. The policy does not apply to personal misconduct that has been investigated prior to such date.

Serious treatment of incidents and allegations of personal misconduct

Incidents and allegations of personal misconduct will be taken seriously at Union Presbyterian Seminary. All persons involved will be treated with respect in the seminary's response to incidents and allegations of personal misconduct.

Procedural integrity

If an incident occurs, or if an allegation is made, the response of Union Presbyterian Seminary will be prompt. All responses will be undertaken with sensitivity to all parties involved in or affected by the personal misconduct.

In response to an allegation of personal misconduct, the goal of Union Presbyterian Seminary will be to determine the truth as far as is humanly possible. Those charged with responding on behalf of the institution in the pursuit of truth shall do so with care for persons and for processes, and be guided by prayer for discernment and guidance.

Union Presbyterian Seminary will not tolerate any retaliation against any person for making an allegation of personal misconduct or any retaliation against anyone for participating in any investigation of an allegation. All members of the community are expected to cooperate in this investigation procedure. Any member of the community who knowingly provides false or misleading information will be subject to disciplinary action.

Confidentiality

Any allegation of personal misconduct will be held in confidence by all persons involved, and the information will be disclosed only on a need to know basis to investigate and resolve the matter.

Relation of Personal Misconduct to Legal Authorities

Because personal misconduct may in some instances constitute both a violation of Seminary norms and standards and criminal activity, and because the Seminary's response to incidents and allegations of personal misconduct is not a substitute for instituting legal action, the Seminary encourages individuals to report alleged personal misconduct of a criminal nature to campus officials and to law enforcement authorities, where appropriate.

Individuals may, however, choose to decline to report alleged personal misconduct of a criminal nature to campus officials and/or to law enforcement authorities. The Seminary respects and supports the individual's decision with respect to reporting; nevertheless, the Seminary may notify appropriate law enforcement authorities if required or warranted by the nature of the incidents or allegations at issue.

A criminal investigation into the matter does not preclude the Seminary from responding to an allegation of personal misconduct. However, the Seminary's response may be delayed temporarily while the criminal investigators are gathering evidence. In the event of such a delay, the Seminary may take interim measures when necessary to protect any alleged victims of personal misconduct and the Seminary community.

Neither the results of a criminal investigation nor the decision of law enforcement authorities to investigate or decline to investigate the matter is determinative of whether personal misconduct, for the purposes of this policy, has occurred.

GUIDELINES FOR RESPONDING TO AN ALLEGATION

Introduction

What follows is a general set of guidelines and a process by which Union Presbyterian Seminary will respond to an incident or allegation of personal misconduct. The Seminary does, however, reserve the right to modify the process outlined here, in order to respond appropriately to a particular case.

The Seminary anticipates and expects that many potential problems in the area of personal misconduct will be resolved by an informal response.

When matters of personal integrity arise with respect to employee misconduct, the guidelines and protocols to be found in the employee handbook will be followed. For faculty, procedures related to misconduct that are outlined in the Faculty Manual take precedence over all other policies. What follows in this policy pertains to non-academic student misconduct apart from sexual misconduct.

Informal Response

Whenever a member of the Seminary community alleges that the Seminary's norms and standards have been violated, as described in this policy, that member is urged first to communicate directly with the alleged offender in order to seek redress and reconciliation. If, due to the nature and severity of the alleged breach of personal conduct, an informal response is perceived to be unsuitable, the member should seek the intervention of an appropriate third party, noted in the following section on "Mediated Response."

Mediated Response

If an informal response fails to resolve an allegation of a violation of the Seminary's norms and standards, or if an informal response is perceived as unsuitable, due to the nature of the alleged breach of personal conduct, parties with allegations are urged to seek mediation as a means for redress and reconciliation by requesting assistance from the Vice President for Community Life and Dean of Students. This VP/Dean of Students will select a mediator and inform the parties of the mediator selected to assist them with the resolution of their concerns.

If, after working with the parties, the mediator determines that mediation is not a viable option for a satisfactory resolution of the concern to all parties involved, the mediator will notify the VP/Dean of Students and request that the matter be considered through a "Formal Response," as outlined in the following section.

Formal Response

If informal and mediatory efforts at redress and reconciliation of an alleged violation of the Seminary's norms and standards fail, or if the nature of the alleged breach of personal conduct is too serious for an informal response or a mediated response, a formal complaint should be sent to the Vice President for Community Life and Dean of Students. This complaint must be submitted in writing and signed by the member of the community filling the complaint. The VP/Dean of Students will notify the alleged

violators(s) within three (3) business days of receipt.

The VP/Dean of Students, after consulting with members of the faculty and administration as she or he deems appropriate, will appoint a "Case" committee drawn from any full-time members of the faculty and staff to examine the allegation(s) and gather additional information pertaining to the allegation. This committee will designate a chairperson as it proceeds.

As appropriate, the "Case" committee, guided by the chair, will hold formal hearings in which each party will be invited to be heard by the committee. At these hearings, the committee may request that persons with knowledge of behaviors pertaining to the complaint provide information as "witnesses." Attorneys for any of the parties, or for any "witnesses," may not be present during the formal hearing.

If any direct parties to the complaint choose not to appear before the "Case" committee, the committee will proceed with its hearing and consider all relevant information to which it has access. The chairperson of the "Case" committee will determine the procedure for the hearing including but not limited to:

- Who shall be asked to appear before the committee
- What information will be sought
- The manner in which questions will be asked for all who appear before the committee
- The amount of time spent on each matter
- Whether the conversation between the parties, witnesses, and members of the "Case" committee should be stopped at any time and for any reason

After the hearings have been concluded, the "Case" committee will deliberate the complaint of personal misconduct, with all of the information it has received in relation to the allegation.

If the "Case" committee determines that the information it receives is insufficient to sustain the complaint, it shall render its findings to the VP/Dean of Students and recommend that the alleged offender be *exonerated*. The VP/Dean of Students will notify all parties involved. The matter will be considered ended and no further action will be taken.

If the "Case" committee determines that the information it receives is sufficient to sustain the complaint, it shall render its findings to the VP/Dean of Students and recommend appropriate outcomes. While it is not possible to identify all possible outcomes, the following listing offers a list of examples that may be considered by the "Case" committee:

- *Admonition/Warning*: The offending party is given a clear written description of the personal misconduct and the potential consequences of similar complaints in the future.
- *Referral to Ecclesiastical Authorities*: Appropriate officers in the denomination of the offending party are notified in writing of the misconduct and imposed sanctions, within FERPA guidelines.
- *Non-Academic Probation*: The offending party is barred from participation in the life of the seminary community, except for academic courses and supervised ministry experiences, for a specified period of time and under specified circumstances.
- *Suspension*: The offending party is barred from participation in the life of the seminary community, including academic courses and supervised ministry experiences, for a specified period of time and under specified circumstances.
- *Dismissal*: The offending party is permanently barred from participation in the life of the seminary community, including academic courses and supervised ministry experiences.

Upon recommendation of the "Case" committee, the Vice President for Community Life and Dean of Students may impose any of the following, or similar sanctions, upon the offending party:

- *Admonition/Warning*
- *Referral to Ecclesiastical Authorities*
- *Non-Academic Probation*

If the VP/Dean determines that the appropriate sanction is either suspension or dismissal, she or he shall make a recommendation to the faculty, in *executive session*. If the faculty concurs with the VP/Dean of Students' recommendation, the sanction will be imposed. If the faculty does not concur, the VP/Dean of Students may consider and impose lesser sanctions.

Once the sanction has been determined, the VP/Dean of Students will notify all parties of this decision, in writing.

APPEALS

Persons who are involved in the formal complaint process and are dissatisfied with the outcome are entitled to appeal the findings or the severity of the sanctions.

Persons must file a written and signed appeal to the President of Union Presbyterian Seminary within ten (10) business days of being notified of the outcomes. The appeal will be considered and acted upon before any penalty takes place, with the exception of possible interim measures to ensure the safety of members of the Seminary community.

The President of Union Presbyterian Seminary will confirm receipt of the appeal within three (3) business days of receipt. If the President is out of the office for an extended period of time, whether on seminary business or personal leave, this three-day period will not begin until he or she returns to the office.

The Seminary President will consider and act upon the appeal within ten (10) business days of receiving the appeal. If the President is out of the office for an extended period of time, whether on seminary business or personal leave, this ten-day period will not begin until he or she returns to the office.

The decision of the Seminary President is considered final.

RECORDS

All written materials pertaining to personal misconduct that is resolved through a process of mediation, or to complaints of personal misconduct that are sustained through a formal process, will be preserved in the student's file in the Registrar's Office in accordance with FERPA guidelines. These materials will include any appeals that are filed in relation to a formal decision, and the response to such appeals by the Seminary President.

DEGREE SEEKING ADMISSIONS

All degree-seeking applicants, except those seeking a Th.M. , must be admitted by vote of the Admissions Committee. The decisions of the committee are both confidential and final. An applicant who is not admitted, or who is wait-listed and subsequently not admitted, may request admission again after two academic years. A completely new application, along with all supporting documentation, will be required.

All Th.M. applicants must be admitted through departmental recommendation and final decision by the Academic Program Committee.

Most degree-seeking students will be admitted without condition. However, the seminary reserves the right to admit a degree-seeking student conditionally. Applicants who do not have a baccalaureate degree from an accredited institution will only be considered for admission on a conditional basis.

The seminary may stipulate conditions, including specific courses and grade minimums, that must be met for the student to continue in her or his degree program. These will be communicated by the Admissions committee in the student's acceptance letter and monitored by the appropriate dean's office. Such students may take up to 12 credit hours during a conditional period of no more than two terms in Richmond or 18 credit hours over three terms in Charlotte, at least six credit hours of which must be selected, with the assistance of their advisor, from required courses as follows:

- For Richmond students admitted conditionally pursuing the M.Div. degree program, at least six credit hours must be required courses in one or more of the following academic disciplines: Bible; History of Christianity; Theology.
- For Richmond students admitted conditionally pursuing the M.A.C.E. degree program, at least six credit hours must be required courses in one or more of the following academic areas: Bible; Christian Education; History of Christianity; Theology.
- For Charlotte degree students the same conditions apply, but for M.Div. students one of the required courses must be in a biblical language.
- ECP students application for full admission may be reviewed after the completion of six credit hours, regardless of length of time in the program.

Based on the work completed in the courses taken during a student's conditional period, the Admissions Committee will make a determination for or against the student's continuation in enrollment. Special attention will be paid to deadlines to ensure decisions are made before the close of the next registration period. A decision to continue enrollment will result in the transfer of hours and grades to the degree program in which the student was admitted. Failure to meet the conditions disqualifies the student from any further enrollment at Union Presbyterian Seminary, and ends all rights and services that appertained during the conditional period. Students in this situation may reapply for admission after two academic years.

Students admitted on a conditional basis may (1) enroll in courses up to a limit of 12 credit hours in Richmond or 18 in Charlotte; (2) enroll for the terms/years noted on their enrollment letters; and (3) apply for need-based, institutional financial aid or Matching Grants. Students admitted on a conditional basis are not eligible for: (1) merit financial aid; (2) student insurance; (3) student offices and awards; or (4) election or appointment as a student representative to faculty committees. Additionally, students who are conditional admits because they do not possess a bachelor's degree may not receive federal student loans during the conditional period.

Students without a baccalaureate degree, or its equivalent for international students, will not be admitted to the dual degree (M.Div./M.A.C.E.) or to the Th.M. degree programs on any basis, trial or otherwise.

Intentionally Left Blank

Conflict of Interest Policy
for the Board of Trustees
of Union Presbyterian Seminary

An actual or potential conflict of interest exists when any of the following exists:

- (a) A Trustee has an ownership or investment interest in or compensation relationship with an organization with which the Seminary does or proposes to do business or an organization that competes with the Seminary; or
- (b) A Trustee receives remuneration for performing services for the Seminary, and the Seminary is determining his or her remuneration; or
- (c) A Trustee serves as an officer or Trustee or key employee of an organization that competes with or does business with the Seminary.

Prior to each meeting of the Board, each Trustee shall examine the agenda for the upcoming board meeting carefully in order to determine whether any of the matters to be considered at that board meeting might represent for them a conflict of interest. If a conflict of interest does exist or might exist, the board member is asked to complete the “conflict of interest” form attached to the agenda for each meeting and send it to the Secretary of the Board prior to the Executive Committee’s next meeting. The Secretary of the Board will notify the Executive Committee of the Board of Trustees of all exceptions noted by Board members in their conflict of interest statement, and the Executive Committee shall determine whether any declared conflict of interest noted in the exceptions section of the statement is sufficiently serious enough to require the Board member to be excluded from the discussion and voting on the matter or require a full Board decision as to whether the Trustee can continue on the Board.

Trustees shall act in a manner intended to further the best interest of the Seminary. If at any time a Trustee (i) has or may have a conflict of interest or (ii) is unable to act in the best interest of the Seminary on any issue because of a personal situation, employment, conflicting interest, or other reason, the Trustee shall recuse himself or herself from voting on the subject and shall leave the room while the matter is discussed. Recusing himself or herself shall not prevent a Trustee from participating in other activities or discussions where no conflict of interest exists.

The Board may approve a transaction that is the subject of a conflict of interest only if it has determined (i) that the transaction or arrangement is in the Seminary’s best interest and for its own benefit, (ii) that it is fair and reasonable to the Seminary, and (iii) that after exercising due diligence, the Seminary would not obtain a more advantageous transaction with reasonable efforts under the circumstances. Where appropriate the board shall obtain comparable information to assist it in reaching such conclusions.

The minutes of all meetings shall reflect (i) the names of the persons who disclosed any conflicts; (ii) the determination as to whether an actual or potential conflict of interest existed; (iii) the names of the persons who were present for discussions and votes relating to the transaction or arrangement; (iv) the content of the discussions, including any alternatives to the proposed transaction or arrangement and the basis for the determination of the Board, including any comparability data; (v) the voting record, including any abstention from voting; and (vi) any action to be taken.

Intentionally Left Blank

Copyright Policy For UPSem¹

It is the intent of UPSem that all members of the Seminary community adhere to the provisions of the United States Copyright Law (Title 17, United States Code, Sect. 101, et seq.). The following policy statements and guidelines constitute a manual for anyone at the Seminary who wishes to reproduce, alter, or perform works that are protected by copyright. Since copyright protection applies to a variety of creative works -- printed materials, sound recordings, video recordings, visual artworks, computer software, and others -- the manual has been constructed to address issues related to particular types of media.

Members of the Seminary community who willfully disregard the copyright policy do so at their own risk and assume all liability.

I. What Is Copyright?

Copyright is a form of legal protection for authors of original works, including literary, dramatic, musical, artistic, and other intellectual products. Publication is not essential for copyright protection, nor is the well known symbol of the encircled "c". Section 106 of the Copyright Act (90 Stat 2541) generally gives the owner of copyright the **exclusive** right to do and to authorize others to do the following:

1. **Reproduce** copies of the work.
2. **Prepare derivative works** based on the copyrighted work.
3. **Distribute** copies of the work by sale, rental, lease, or lending.
4. **Publicly perform** the work (if it is a literary, musical, dramatic, or choreographic work or a pantomime, motion picture or audiovisual work).
5. **Publicly display** the work (if it is a literary, musical, dramatic, choreographic, sculptural, graphic, or pictorial work -- including the individual images of a film -- or a pantomime).

The copyright owner retains these rights even when the work itself belongs to someone else. However, the rights are not absolute. They are subject to both "Fair Use" limitations, which apply to all media, and medium-specific limitations.

II. Fair Use

The doctrine of fair use, embedded in section 107 of the Copyright Act of 1976, addresses the needs of scholars and students by mitigating the rights of copyright ownership. However, what constitutes fair use is expressed in the form of

¹ This policy borrows heavily from the wise policies for copyright formulated by Wellesley College and the Indiana University Bloomington Libraries.

guidelines rather than explicit rules. To determine fair use, consider the following four factors [from *What Educators Should Know About Copyright*, by Virginia M. Helm; Bloomington, IN, Phi Delta Kappa Educational Foundation, 1986]:

A. Criteria for Fair Use

1. The **purpose and character** of the use, including whether the copied material will be for nonprofit, educational, or commercial use. This factor at first seems reassuring; but unfortunately for educators, several courts have held that absence of financial gain is insufficient for a finding of fair use.
2. The **nature** of the copyrighted work, with special consideration given to the distinction between a creative work and an informational work. For example, photocopies made of a newspaper or newsmagazine column are more likely to be considered a fair use than copies made of a musical score or a short story. Duplication of material originally developed for classroom consumption is less likely to be a fair use than is the duplication of materials prepared for public consumption. For example, a teacher who photocopies a workbook page or a textbook chapter is depriving the copyright owner of profits more directly than if copying one page from the daily paper.
3. The **amount, substantiality, or portion** used in relation to the copyrighted work as a whole. This factor requires consideration of 1) the proportion of the larger work that is copied and used, and 2) the significance of the copied portion.
4. The effect of the use on the **potential market** of the copyrighted work. This factor is regarded... as the most critical one in determining fair use; and it serves as the basic principle from which the other three factors are derived and to which they are related. If the reproduction of a copyrighted work reduces the potential market and sales and, therefore, the potential profits of the copyright owner, that use is unlikely to be found a fair use.

B. Permission for Copying in Excess of Fair Use

The Seminary participates in contractual arrangements mandating royalty payments or licensing fees to copyright owners whenever feasible. Nevertheless, it often falls to the individual scholar to obtain written permission from the copyright owner to copy a large portion of a work or an entire work, or to produce multiple copies of chapters or periodical articles.

III. Printed Materials

A. Works that May be Used Freely

Occasionally, scholarly publications such as journal articles include a note offering the right to copy for educational purposes.

Some categories of publications are in the public domain; that is, their use is not protected by copyright law:

1. Publications dated 1922 or earlier.
2. Works that do not include a copyright notice and were first published before January 1, 1978.
3. Most United States government documents.

Once a work has acquired public domain status it is no longer eligible for copyright protection.

B. Photocopying

1. Printed Materials Other Than Music: What Quantity Conforms to the Law?

*The following parameters are widely considered to be inappropriately restrictive for academic needs. However, they define the limits within which we can be sure of complying with copyright law. Somewhat more extensive copying **may** be sanctioned by the fair use guidelines.*

i) Single Copies for Scholarly Needs or Library Reserve

1. One chapter from a book.
2. One article from a journal issue or newspaper.
3. Multiple excerpts from a single book or journal issue will be accepted only if the total length of the submission is 10.0% or less of the total length of the book or journal issue.
4. A short story, short essay, or short poem.
5. A chart, diagram, drawing, graph, cartoon, or picture.

*Articles, etc. that are submitted for Reserve are considered the property of the instructor and will be returned at term-end. (See "Library Reserve Services", for further information.)

ii) Multiple Copies for Classroom Use

must meet the following tests of **brevity**, **spontaneity**, and **cumulative effect**. Each copy must also include prominent notice that it is copyrighted material.

- **Brevity**
- **Prose:** Either (1) a complete article, story or essay of less than 2,500 words, or (2) an excerpt from any prose work of not more than 1,000 words or 10% of the work, whichever is less, but in any event an excerpt of up to 500 words.

- **Poetry:** (1) A complete poem if less than 250 words and if printed on not more than two pages, or (2) an excerpt of not more than 250 words.
(Each of the numerical limits above may be expanded to permit the completion of an unfinished prose paragraph or line of a poem.)
- **Illustration:** One chart, graph, diagram, drawing, cartoon or picture per book or periodical issue.
- **Special Works:** Certain works in poetry or prose or in "poetic prose", which may combine language with illustrations and which fall short of 2,500 words, may not be reproduced in their entirety. However, an excerpt comprising not more than two of the published pages of such a work, and containing not more than 10% of the words found in the text, may be reproduced.
- **Spontaneity**
The copying is at the instance and inspiration of the individual instructor. The inspiration and decision to use the work and the moment of its use for maximum teaching effectiveness are so close in time that it would be unreasonable to expect a timely reply to a request for permission.
- **Cumulative Effect**
The copying of the material is for only one course, with no more than one copy per student in the course.
Not more than one short poem, article, story, essay or two excerpts may be copied from the same author, nor more than three from the same collective work or periodical volume during a term.
There shall not be more than nine instances of such multiple copying for one course during a term.

2. Course Packets

Copyright litigation involving academic users has focused on these "anthologies", which are perceived as substituting for textbooks and thus as reducing the potential market for copyrighted publications. Every article or chapter in a course packet, if derived from copyrighted material, requires permission, either from the copyright owner (usually the publisher) or through checking with the Copyright Clearance Center to see if the Seminary is covered, and if not, paying a royalty fee through the Copyright Clearance Center. Each item in the packet also must include a notice of copyright -- e.g., "Copyright 1990 by Academic Books, Inc." Individuals who purchase course packets should not be charged in excess of cost. Expect several weeks' delay in cases where copyright owners are elusive.

3. Photocopying Music for Educational Purposes

i) What Quantity Conforms to the Law?

For a Performance - Emergency copying is permitted so long as replacement copies are subsequently purchased.

Single Copies for Personal or Library Reserve Use (Academic Purposes Other Than Performance) - An entire performable unit (section, movement, aria, etc.) if the unit is out of print or available only in a larger work.

Multiple Copies for Classroom (Non-Performance) Use - Excerpts may comprise no more than 10% of a whole work and may not constitute a performable unit.

Packets of Photocopied Music Excerpts
See section above, "Course Packets ".

4. Photocopies Obtained Through Interlibrary Loan

Section 108(d) of the Copyright Law of 1976 specifies that a library may copy "no more than one article or other contribution to a copyrighted collection or periodical issue, or to . . . a small part of any other copyrighted work." The copy must become the property of the requestor, and its use is limited to "private study, scholarship, or research."

Interlibrary Loan activities are further restricted in the aggregate by the "CONTU Guidelines", which cap the amount of photocopying the ILL office can request for the Seminary community in any calendar year. The thrust of the "Guidelines" is to quantify the maximum number of photocopied articles -- five -- that can be requested from the most recent five years of a periodical the library does not subscribe to. The "CONTU Guidelines" are available in the Interlibrary Loan office. Individuals requesting copies in excess of the CONTU allowance may be asked to pay a royalty or the fee necessary to obtain such copies commercially.

The Interlibrary Loan office is legally obligated to display prominently the following notice and to include the same text on all request forms:

NOTICE

WARNING CONCERNING COPYRIGHT RESTRICTIONS

The copyright law of the United States (Title 17, United States Code) governs the making of photocopies or other reproductions of copyrighted material.

Under certain conditions specified in the law, libraries and archives are authorized to furnish a photocopy or other reproduction. One of these specified conditions is that the photocopy or reproduction is not to be "used for any purpose other than private study, scholarship, or research." If a user makes a request for, or later uses, a photocopy or reproduction for purposes in excess of "fair use," that user may be liable for copyright infringement.

This institution reserves the right to refuse to accept a copying order if, in its judgment, fulfillment of the order would involve violation of copyright law.

5. Photocopy Machines

Every photocopy machine on campus must include effective signage incorporating the following text:

Notice: The copyright law of the United States (Title 17 U.S. Code) governs the making of photocopies or other reproductions of copyrighted material. The person using this equipment is liable for any infringement.

IV. Unpublished Works

Manuscripts, letters and other unpublished materials are likely to be protected by copyright regardless of age, even if they lack a notice of copyright. Consult with the Seminary Archivist.

Unpublished works that belong to the Library or Seminary Archives may be reproduced in facsimile format for preservation purposes or for deposit for research use in another library or archives. Copies may usually be made for individual researchers under the law's Fair Use provisions.

V. Reserves

A. Paper Reserves in the Library

Since library reserve services function as classroom adjuncts, the guidelines for "Multiple Copies for Classroom Use" [pp. 3-4] are relevant. However, these guidelines address the practice of distributing photocopies to every course participant. Furthermore, the quantities specified for amount of text and total instances of photocopying constitute the minimum permitted by copyright law. Consequently, many academic reserve services adopt policies that seek to blend the spirit of the guidelines for "Multiple Copies..." with the criteria for fair use.

- 1. Copies on Reserve must be marked:** NOTICE: This material may be protected by copyright law (Title 17 U.S. Code)
- 2. Special restrictions apply to music Reserves.** See sections on sound recordings and photocopying music.
- 3. Common Questions on Paper Reserves**

▪ ***How many photocopies of an item may be placed on reserve?***

UPSem's Library reserve services routinely accept single photocopies of copyright-protected chapters, articles, etc. [see p. 3, "Single Copies for Scholarly Use or Library Reserve"]. The photocopies are considered to be the instructor's property. Although copyright law prohibits libraries from systematic copying to enhance their collections, an instructor may provide duplicate photocopies (three at most) when a course is large enough to require more than one of an assigned photocopy. *If an original is not owned by the Library or the instructor, the instructor must provide written permission or indication of royalty payment for photocopies in excess of one.*

▪ ***How many photocopied items are permitted on reserve for a course?***

- **How many items from one source?** UPSem's Copyright Policy dictates that we can accept 1 chapter from a book or 1 article from a journal issue for Course Reserves. Multiple excerpts from a single book or journal issue will be accepted only if the total length of the submission is 10.0% or less of the total length of the book or journal issue.
- **b) How many items altogether?** There are several relevant considerations, including the four factors which determine fair use; the guidelines for "Multiple Copies for Classroom Use"; and recent judicial history. Still, the quantitative threshold for exceeding fair use is problematic. However, current opinion on academic applications of the copyright law is consistent in regarding course packets derived from copyright-protected materials as outside the bounds of fair use. Consequently, course packets will not be accepted for library reserve without indication of the necessary permission or royalty payment.

▪ ***Can a whole book be photocopied when there seems to be no way to buy another copy?***

Yes, so long as a vigorous marketplace search determines that another copy cannot be bought at a reasonable price, within a reasonable period. A reasonable investigation will always require recourse to commonly known trade sources in the United States and, if that fails, an attempt to obtain the copyright owner's permission.

▪ ***Are there any concise, authoritative resources that can help determine when a particular publication might be free of copyright protection?***

The United States Copyright Office issues a series of Copyright Circulars on many aspects of copyright, including duration and protection of foreign publications. Individual Circulars are frequently

revised. Many [Copyright Circulars](#) are also available from the World Wide Web.

- **What if I discover the need to copy more than would be permitted as "fair use" when there is insufficient time to obtain permission?**

In a genuine emergency, Seminary departments such as the Central Services might proceed before written permission is received.

However, the Seminary's credibility in upholding the letter and spirit of the copyright law does not allow for many such exceptions. Further, if permission is subsequently denied, the disallowed copies would have to be withdrawn.

B. E-reserves on BlackBoard

UPSem maintains course reserve collections, in both print and electronic formats, to support the instructional requirements of specific courses.

The following policies apply to materials that are scanned or downloaded to the Seminary's electronic reserve service on BlackBoard. These policies do not apply to materials that are openly posted on the World Wide Web for which direct links are included in the electronic reserve service; to materials for which no copyright protection is claimed; or to copyrighted materials that have passed into the public domain.

- ❖ Faculty submitting materials for electronic reserves must submit a completed [Fair Use Checklist](#) (See Appendix A) for the materials that will be added to Blackboard. This must be done whether IT posts the material online for the faculty member, or whether the faculty member scans and post the material. IT has the right to refuse a submission for publication without this form, or if there is some concern about whether the use constitutes fair use.
- ❖ Written permission from the copyright holder *that has been obtained by the professor requesting the inclusion of materials into electronic reserves* will be required for inclusions that exceed what is determined by Information Technology personnel to be fair use.
- ❖ All use of materials placed on electronic reserves will be at the initiative of instructors solely for non-commercial, educational use by students.
- ❖ There will be no charge for access to the electronic reserve service; the charge for copies made by students will be limited to the nominal cost of photocopies or laser prints.
- ❖ Each item included in the electronic reserves will carry a cover page with notice that the copying of materials may be subject to copyright law.
- ❖ Access to reserve materials will be limited to students registered in the course for which the materials have been placed on reserve, to instructors, and to staff responsible for the electronic reserve service.

- ❖ The Information Technology department will continually monitor legal developments which may affect the fair use analysis of electronic reserve services to ensure that library services are in compliance with the letter and spirit of the United States copyright law.

1. Responsibilities for the use of copyrighted materials on E-reserves

i) Instructor Responsibilities

- All materials submitted by instructors must support course-related teaching, scholarship, or research.
- Instructors submitting materials are responsible for evaluating, on a case-by-case basis, whether the use of a copyrighted work requires permission or qualifies as a fair use. Instructors are to use the [Fair Use Checklist](#) (See Appendix A) as a guide to this determination and submit a completed Fair Use Checklist for each item to be placed on e-reserves by IT and on paper reserves by the Library.
- When permissions are needed, the instructor will obtain permission first by checking the Copyright Clearance Center's coverage and, if not covered there, by contacting the copyright holder. Instructors are responsible for providing print outs of either the webpage indicating coverage by the Copyright Clearance Center or the webpage from the Copyright Clearance Center's website indicating a payment is in process for copyright permission.
- Whenever copying original materials is involved, whether the copies are made by instructors or by the libraries, only the amount needed to accomplish the specific educational purpose should be copied.

ii) User Responsibilities

- All materials placed on course reserves are to be used solely for non-commercial educational purposes in connection with designated courses.
- Copyrighted materials made available through course reserves are to be used for teaching, scholarly, or research purposes, and should not be reproduced for further distribution.

iii) Information Technology & Library Responsibilities

- The Information Technology department and the Library will provide information resources to instructors to assist them in evaluating the qualifications of a specific use as a fair use. But it is ultimately the instructor's responsibility to make this determination.

- Access to materials on course e-reserves will be password protected and limited to students currently enrolled and their instructors.
- Each course that contains copyright material at its BlackBoard site will include a Notice indicating that the materials are copyright protected.
- Each item on the E-reserves system of BlackBoard will display the title page or any other page from the material that identifies the copyright owner.
- Materials will be removed from course reserves when they are no longer required to support designated courses.

VI. Analog and Digital Material, including:

**Video,
DVD,
Cassette,
CD,
mp3 Files,
Computer Software,
Images**

A. General Copying

Copying media items without the copyright owner's permission is illegal. An exception is made for libraries to replace a work that is lost or damaged if another copy cannot be obtained at a fair price [Section 108 of the Copyright Act of 1976.] It is also illegal to change the format of a media item without the copyright owner's permission. Copying small excerpts of audio or visual material may be permitted for teaching purposes. Please see the copyright policy for amounts that have been deemed to fall under fair use when copying audiovisual excerpts.

When the Seminary makes an audio or visual recording of speakers on campus, those speakers provide us with releases which indicate whether their material can be copied. The catalog record for each recording will indicate whether copies can be made.

A single copy of a music recording can be made for the purposes of constructing aural exercises or examinations. Otherwise, the restrictions on copying non-music recordings apply.

B. Copying multimedia for classroom projects

1. Educational Multimedia Fair Use

Key elements of the Educational Multimedia Fair Use Guidelines are summarized here. The Guidelines specify how much of copyright-protected sources may be included in

multimedia products prepared by students or faculty members for course-related work. Use of larger portions requires permission from copyright owners. Creators of multimedia products may prepare a total of three copies, one of which is for preservation and replacement purposes only. One of the copies may be placed on Library Reserve. An exception is allowed for joint projects: each principal creator may retain a copy. Fair Use status expires two years after the first instructional use of a particular multimedia product.

2. ??????? How Much ??????? can be copied

- ***Motion Media:*** Up to 10% or 3 minutes of a source, whichever is less.
- ***Text:*** Up to 10% or 1000 words of a source, whichever is less. An entire poem of less than 250 words, but no more than 3 poems or excerpts by one poet. No more than 5 poems or excerpts from one anthology.
- ***Music, Lyrics, Music Video:*** Up to 10% but not more than 30 seconds total from an individual work.
- ***Illustrations, Photographs:*** No more than 5 images by one artist or photographer. No more than 10% or 15 images, whichever is less, from any single published work.
- ***Numerical Data Sets:*** Up to 10% or 2500 fields or cell entries, whichever is less.
- ***Internet Sources:*** Though it can be difficult to determine what is copyright protected and what is in the public domain, the multimedia creator is responsible for adhering to copyright law.

3. Opening Screen Notice

"Certain materials are included under the fair use exemption of U.S. Copyright Law and have been prepared according to the educational multimedia fair use guidelines and are restricted from further use." Credit the sources and display the copyright notice and copyright ownership information if shown in the original source. Crediting the source must adequately identify the source of the work, giving a full bibliographic description where available (including author, title, publisher, and place and date of publication). The copyright notice includes the word "Copyright" or the copyright symbol, the name of the copyright holder, and the year of first publication.

4. Integrity of Sources

Any alterations of copyrighted items must be noted.

5. Off-Air Recording of Broadcasts, including Satellite TV

Licenses may be obtained for copying and off-air recording. Absent a formal agreement, "Guidelines for Off-the-Air Recording of Broadcast Programming for Educational Purposes", an official part of the Copyright Act's legislative history, applies to most off-air recording [from Virginia M. Helms, *supra*]:

- i) Videotaped recordings may be kept for no more than **45 calendar days** after the recording date, at which time the tapes must be erased.
- ii) Videotaped recordings may be shown to students only within the **first 10 school days** of the 45-day retention period.
- iii) Off-air recordings must be made only **at the request** of an individual instructor for **instructional** purposes, not by staff in anticipation of later requests.
- iv) The recordings are to be shown to students no more than two times during the 10-day period, and the second time only for necessary instructional reinforcement.
- v) The taped recordings may be viewed after the 10-day period only by instructors for evaluation purposes, that is, to determine whether to include the broadcast program in the curriculum in the future.
- vi) If several instructors request videotaping of the same program, duplicate copies are permitted to meet the need; all copies are subject to the same restrictions as the original recording.
- vii) The off-air recordings may not be physically or electronically altered or combined with others to form anthologies, but they need not necessarily be used or shown in their entirety.
- viii) All copies of off-air recordings must include the copyright notice on the broadcast program as recorded.
- ix) These guidelines apply only to nonprofit educational institutions, which are further expected to establish appropriate control procedures to maintain the integrity of these guidelines.

Certain public broadcasting services (Public Broadcasting Service, Public Television Library, Great Plains National Instructional Television Library, and Agency for Instructional Television) impose similar restrictions but limit use to only the seven-day period following local broadcast [Virginia M. Helms, *supra*].

C. Display/Performance of Audiovisual Works

1.. Films and Video

Possession of a film or video does not confer the right to show the work. The copyright owner specifies, at the time of purchase or rental, the circumstances in which a film or video may be "performed". For example, videocassettes from a video rental outlet usually bear a label that specifies "Home Use Only". However, whatever their labeling or licensing, use of these media is permitted in an educational institution so long as

certain conditions are met.

i) Classroom Display

Section 110 (1) of the Copyright Act of 1976 specifies that the following is permitted:

Performance or display of a work by instructors or pupils in the course of face-to-face teaching activities of a nonprofit educational institution, in a classroom or similar place devoted to instruction, unless, in the case of a motion picture or other audiovisual work, the performance, or the display of individual images is given by means of a copy that was not lawfully made...and that the person responsible for the performance knew or had reason to believe was not lawfully made.

Additional text of the Copyright Act and portions of the House Report (94-1476) combine to provide the following, more detailed list of conditions [from Virginia M. Helms, *supra*]:

1. They must be shown as part of the instructional program.
2. They must be shown by students, instructors, or guest lecturers.
3. They must be shown either in a classroom or other school location devoted to instruction such as a studio, workshop, library, gymnasium, or auditorium if it is used for instruction.
4. They must be shown either in a face-to-face setting or where students and teacher(s) are in the same building or general area.
5. They must be shown only to students and educators.
6. They must be shown using a legitimate (that is, not illegally reproduced) copy with the copyright notice included.

Further, the relationship between the film or video and the course must be explicit. Films or videos, even in a "face-to-face" classroom setting, may not be used for entertainment or recreation, whatever the work's intellectual content.

ii) Use Outside the Classroom

Besides use in classrooms, videocassettes and videodiscs that are owned by the Seminary may ordinarily be viewed by students, faculty or staff at workstations or in small-group rooms in the William Smith Morton Library. These videos may also be viewed at home (e.g., in a dorm room), so long as no more than a few friends are involved. Larger audiences, such as groups that might assemble in a residence hall living room, require explicit permission from the copyright owner for "public performance" rights.

iii) Network Distribution of Video

Without explicit permission for closed-circuit distribution, network transmission of a video is not permissible unless "Classroom Use" structures (p.7-8) are met.

D. Common Questions about Video

- **May I purchase or rent a film from the local video store and use it in my class?**

Tapes from a video store are labeled "Home Use Only", indicating a licensing agreement with the copyright holder. Nevertheless, use of such tapes is considered "fair use" in a face-to-face teaching situation. Tapes marked "Home Use Only" may also be placed on reserve and viewed in the Video Lab if they are used strictly for instructional purposes and not entertainment.

- **Is it permissible to make a copy of a rental video in order to use it again, later?**

No. That would infringe on the rights licensed to the rental agency. (Absent reasonable return for service, rental agencies cannot survive.)

- **Can an auditorium or other large space be used to show a video labeled "Home Use Only" to a class?**

Yes, so long as the performance is not open to the public and is for an instructional purpose within the structure of the course. Use for entertainment is prohibited.

- **If my department already owns a videotape, and it has been used in the classroom, can I have it shown on the campus video network?**

Not unless explicit permission for closed-circuit distribution has been obtained.

- **How does the "face-to-face" instruction requirement affect the practice of putting video tapes on Reserve and assigning them to students?**

When purchasing video tapes, UPSem seeks permission to allow this type of use. A label affixed to the cassette will specify when such permission has been granted.

- **Can a seminary-owned video be copied for Reserves?**

Not unless permission for the copying has been obtained from the copyright owner.

- **May a club or other group show a video obtained from a local video store?**

No. However, many film/video libraries and distributors offer the required "public performance rights" that are included in a higher rental fee.

- **What if a student rents a video from a video store and views it with a few friends in her dormitory living room?**

Experts disagree! But since access to dormitories is limited to acquaintances of students, this would seem to be comparable to "home use".

- **I don't have time to preview this video right now, and it's due to be returned to the vendor. Can Audiovisual Services copy it for me?**
No; preview videos may not be copied.
- **Can a video tape be made of a film that is out of print and deteriorating rapidly?**
Although the film is out of print, permission of the copyright owner is nonetheless required.

VII. Internet: Digital images and sound

The same rules about copying, display and use discussed previously also apply to material available through the internet. Most websites will generally give information about permissions. You can find sites for copyright free music and images on the Library website.

VIII. Computer Software

UPSem negotiates site licenses with software vendors whenever possible for software products that are selected for extensive use, since these arrangements provide the Seminary community with efficient access to computer programs that support the curriculum while assuring the copyright owner a fair royalty.

Software products that are not licensed to the Seminary may also be used. However, copying is strictly limited except for backup purposes. Whether the software is transferred from the original to a hard disk or to an archival diskette, the backup copy is not to be used at all so long as the other copy is functional.

Copyright law is acknowledged to be inadequate in relation to the complexities of software use. EDUCOM, a nonprofit organization that supports the use of technology in education, launched the EDUCOM Software Initiative, which developed a statement of principle intended for adaptation and use by individual colleges and universities. It is here reproduced in full:

A. Common Questions on Computer Software:

- **Is it all right to use a single-user licensed software disk on multiple computers for use at the same time?**
No. If simultaneous use on multiple computers is necessary, ask Information Technology Services about the possibility of a site licensing arrangement with the vendor. Another possibility is that the vendor may offer a price break for multiple copies or "lab packs".
- **What about borrowing software to load into the hard disk memory of my personal computer?**
While the memory capacity of personal computers makes this very tempting,

it is not within the realm of fair use unless you delete it from your computer when you return the borrowed copy. The point is that only one person at a time may use single-user licensed software.

X. The EDUCOM Code

Software and Intellectual Rights

Respect for intellectual labor and creativity is vital to academic discourse and enterprise. This principle applies to works of all authors and publishers in all media. It encompasses respect for the right to acknowledgment, right to privacy, and right to determine the form, manner, and terms of publication and distribution.

Because electronic information is volatile and easily reproduced, respect for the work and personal expression of others is especially critical in computer environments. Violations of authorial integrity, including plagiarism, invasion of privacy, unauthorized access, and trade secret and copyright violations, may be grounds for sanctions against members of the academic community.

Appendix A
FAIR USE CHECKLIST

This checklist should be used to help you determine whether your projected educational use of copyrighted materials falls under "fair use" as stipulated by U.S. Copyright Law. In making your determination, please check all boxes that apply in the left and right columns. The information in the middle column can add weight to a decision favoring fair use if applicable, but it does not guarantee fair use applies.

If you find that you have marked more boxes in the left column than in the right column, then you can assume that fair use is justified. Sign this form and submit it to Information Technology staff whether you are placing the item on BlackBoard or IT will do it.

If the number of marked boxes in the two columns is equal or there are more marked boxes in the right column, then you should first check to see if the Seminary is covered by its agreement with the Copyright Clearance Center, and if not, either pay for your planned use at the Copyright Clearance Center or seek permission directly from the publisher for your planned use.

In all cases, you should complete and retain a copy of this form in connection with each possible 'fair use' of a copyrighted work.

Name: _____ Date: _____

Course: _____ Term: _____

Signature (REQUIRED)

Guidelines/Rules of Thumb

Favoring Fair Use

Opposing Fair Use

What is the purpose and character of the work to be used?

<input type="checkbox"/> Non-profit <input type="checkbox"/> Educational <input type="checkbox"/> Personal	Criticism Commentary News reporting Parody Otherwise "transformative" use	<input type="checkbox"/> Commercial <input type="checkbox"/> Entertainment <input type="checkbox"/> Denying credit to original author
--	---	---

What is the nature of the work to be used?

<input type="checkbox"/> Fact or non-fiction based <input type="checkbox"/> Published <input type="checkbox"/> Important to favored educational objectives	A mixture of fact and imagination	<input type="checkbox"/> Unpublished <input type="checkbox"/> Highly creative (art, music, novels, films, plays)
--	-----------------------------------	---

How much of the work do you intend to use?

<input type="checkbox"/> Small amount <ul style="list-style-type: none"> • Complete article, story or essay of up to 2500 words • Prose: excerpt of not more than 10% of work • One chart, graph, diagram, cartoon or picture per book or periodical issue • Text source: 10% or 1000 words • Poetry: An entire poem of less than 250 words, but no more than 3 poems or excerpts by one poet • Music, Lyrics, Music Video: Up to 10% but not more than 30 seconds total from an individual work • Motion Media: Up to 10% or 3 minutes • Illustrations, Photographs: No more than 5 images by one artist; No more than 10% or 15 images, whichever is less, from any single published work <input type="checkbox"/> Portion used is not the 'heart of the work'.	<input type="checkbox"/> Large portion or whole work <input type="checkbox"/> Portion used is 'heart of the work'
---	--

What would be the effect on the potential market value of the copyrighted work?

<input type="checkbox"/> User has lawfully acquired copy of original work (Library or personal copy) <input type="checkbox"/> No more than one copy made per student <input type="checkbox"/> Lack of licensing mechanism <input type="checkbox"/> Used for only one term and class <input type="checkbox"/> The decision to use the material does not allow time to get permission (<u>first time use only</u>) <input type="checkbox"/> The evaluation of the first three factors tips the scales in favor of fair use	Original is out of print or otherwise unavailable Copyright owner is unidentifiable	<input type="checkbox"/> Could replace sale of copyrighted work <input type="checkbox"/> Avoids payment for permissions in an established permissions market <input type="checkbox"/> Affordable permission is available for using the work <input type="checkbox"/> You make the copy accessible on the Web or in another public forum <input type="checkbox"/> Same text is being used for a second term or second class or repeatedly over the years <input type="checkbox"/> You have very few or no texts that students must purchase so that the vast majority of your required texts are available on e-reserves.
---	--	---

This form was adapted for use by UPSem from two publicly-shared documents. (1) *Checklist for Fair Use*, Dr. Kenneth Crews, Copyright Management Center at Indiana University. http://www.ibiblio.org/pub/electronic-publications/stay-free/ml/readings/fairuse_checklist.pdf and (2) *Crash Course in Copyright* from the University of Texas, license under a Creative Commons License. <http://creativecommons.org/licenses/by-nc-sa/2.0/>

Copyright Ownership Policy

I. Purpose and Scope

The purpose of this statement is to set forth campus policy regarding copyright ownership for works produced at, by, or through Union Presbyterian Seminary. This policy applies to Union Presbyterian Seminary faculty, staff, students, and other persons or entities using designed Seminary facilities or acting under contract with Union Presbyterian Seminary for commissioned works.

II. Explanation of Terms

- A. Copyright- Copyright is the intangible property right granted by Federal statute for —original works of authorship which have been fixed in any 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. These works include, but are not limited to, literary works such as books, journal articles, poems, manuals, memoranda, tests, computer programs, instructional materials, databases, and bibliographies; musical works, dramatic works, pictorial and graphic works such as photographs, diagrams, and sketches; motion pictures, videotapes, and sound recordings. As provided by law, copyright protection does not extend to ideas, facts, U.S. government works, works in the public domain, works for which the copyright has expired, or live performances that are not fixed in a tangible medium.
- B. Scholarly and Instructional Works- Scholarly and instructional works embody substantive educational, creative, and scholarly work, thought, or research.
- C. Administrative Works- Administrative works are those generally created by Seminary employees in the regular course of their employment and relate to the administration of the educational mission of the Seminary and are generally not the result of scholarly work or research. For example, an administrative work may be a spreadsheet or software tool developed and improved over time by multiple administrators, faculty, staff, or students where authorship is not appropriately attributed to a single or defined group of authors. However, an administrative work may have one originator, creator, or author.
- D. Institutional Works- Institutional works are works supported by a specific allocation of Seminary funds or are created at the direction of the Seminary for a specific Seminary purpose.
- E. Commissioned Works- Commissioned works are works produced for Seminary purposes by individuals not employed at the Seminary or by Seminary employees outside their regular job duties.
- F. Sponsored Works- Sponsored works are works first produced by or through the Seminary in the performance of a written agreement between the Seminary and a sponsor or outside funding source.
- G. Works for Hire- As defined in the U.S. Copyright Act, a work for hire is —a work prepared by an employee within the scope of his or her employment.
- H. Fair Use Doctrine- As embodied in Section 107 of the U.S. Copyright Act, the fair use doctrine exempts limited uses of materials from copyright infringement liabilities. Under the statute the right of fair use is specifically applicable to teaching, research and scholarship, and that its scope depends on four factors: 1) the purpose and character of the use; 2) the nature of the copyrighted work; 3) the amount and substantiality of the portion used; and 4) the effect of the use upon the potential market for or value of the copyrighted work. The specific facts of each use or proposed use should be analyzed in light of these four factors.

III. General Policy Statement

It is the general policy of the Seminary that all rights in copyright shall remain with the creator except where the work is a work-for-hire under copyright law, is commissioned by the Seminary, results from extraordinary use of Seminary resources or facilities or where copyright is determined by contract.

IV. Scholarly and Instructional Works

All rights in copyright of scholarly and instructional works shall belong to the creator, originator or author whether that person is professor, librarian, staff member, or associated with the Seminary in any other capacity and shall not be considered works for hire, unless there is a written agreement to the contrary. Therefore, students not employed by the Seminary retain copyright for term papers, theses, and other projects that students complete in their own name as part of course assignments or degree programs.

V. Administrative and Institutional Works as Work-For-Hire

Administrative and institutional works whether created by faculty, staff, or students are generally works for hire and the Seminary is therefore the owner of all rights in copyright unless a written agreement provides otherwise.

VI. Commissioned Works

Copyright ownership of commissioned works shall reside with the Seminary unless a written agreement provides otherwise. In commissioning work, where applicable the Seminary should seek a written agreement setting forth copyright ownership and rights of use.

VII. Sponsored Works

Copyright ownership of sponsored works shall be with the Seminary unless the sponsored agreement or grant contract provides otherwise. Academic or scholarly works derived from sponsored work, including journal articles, lectures, books, videos, or other copyrightable works created through independent effort even though based on the findings of the sponsored project or derived from sponsored work shall reside with the creator, originator or author.

VIII. Assignment and Licensing of Copyrights

The Seminary may assign or license its copyrights to others. The Seminary shall encourage and facilitate the use of assignments and licensing agreements among interested parties to help avoid controversy and foster creative endeavor. For example, where the Seminary owns the copyright, the Seminary may wish to license to the professor, staff member, or student who created it the right to use the copyrighted expression in other contexts, to make reproductions of the work to use in teaching, scholarship, or research, to modify or update the work, or to take the work with them for use with a new employer. Similarly, the creator with copyright ownership shall cooperate with the Seminary and may license to the Seminary various rights of use, for example, a limited, nonexclusive right of colleagues and students to make reproductions of the work to use in teaching, scholarship, or research, or to reproduce the work for uses directly related to advancing the mission of the Seminary. The Seminary and its faculty and staff shall avoid joint ownership of copyrights as joint owners have legal obligations to one another potentially over many years. Whenever possible joint copyright owners should seek written agreements specifying their interests in, and the terms of, copyright management.

IX. Use of Copyrighted Works Owned by Others

The Seminary may make use of copyrighted works owned by others under the fair use doctrine. What constitutes fair use of copyrighted material owned by another is a legal determination. Administrators, faculty, staff, and students are encouraged to review copyright law on fair use.

X. Administration of Copyright Policy

It is the owner's responsibility to enforce the copyright and any assigned or licensed rights of use. The President of the Seminary or his/her designee may direct the issuance of guidelines, and implementing procedures consistent with this Policy as necessary. The President of the Seminary or his/her designee may direct the register of copyrights, the acceptance of copyrights from third parties, the release of copyrights to third parties, and the sale, assignment or granting of licenses for any rights related to copyrights in the name of the Seminary. Nothing in this policy is intended to interfere with the Seminary's ability to meet its obligations for deliverables under any contract, grant, or other arrangement with third parties, including sponsored programs, research agreements or license agreements. Nothing in this policy is intended to prevent the Seminary from assigning or licensing any of the rights of copyright ownership at any time where it is in the best interests of the Seminary or the individuals of the Seminary community.

Adopted by the faculty, April 30, 2009

Approved by the board of trustees, May 15, 2009

Intentionally Left Blank

Credit hour policy
Faculty approved
May 10, 2012

1. Recommendation #6 in the Re-affirmation report from SACS/ATS following the onsite visit:

FR 4.9 Definition of Credit Hours

Recommendation 6: The Committee recommends that the institution provide evidence that it has policies and procedures for determining the credit hours awarded for courses that conform to commonly accepted practices in higher education and Commission policy.

2. Background documentation: excerpt from the current SACS policy statement on credit hours (the entire document is available at www.sacscoc.org/pdf/081705/Credit%20Hours.pdf)

Federal Definition of the Credit Hour. For purposes of the application of this policy and in accord with federal regulations, a credit hour is an amount of work represented in intended learning outcomes and verified by evidence of student achievement that is an institutionally established equivalency that reasonably approximates

1. Not less than one hour of classroom or direct faculty instruction and a minimum of two hours out of class student work each week for approximately fifteen weeks for one semester or trimester hour of credit, or ten to twelve weeks for one quarter hour of credit, or the equivalent amount of work over a different amount of time, or
2. At least an equivalent amount of work as required outlined in item 1 above for other academic activities as established by the institution including laboratory work, internships, practica, studio work, and other academic work leading to the award of credit hours.

Guidelines for Flexibility in Interpretation. An institution is responsible for determining the credit hours awarded for coursework in its programs in accordance with the definition of a credit hour for Federal program purposes. The definition does provide some flexibility for institutions in determining the appropriate amount of credit hours for student coursework.

- The institution determines the amount of credit for student work.
- A credit hour is expected to be a reasonable approximation of a minimum amount of student work in a Carnegie unit in accordance with commonly accepted practice in higher education.
- The credit hour definition is a minimum standard that does not restrict an institution from setting a higher standard that requires more student work per credit hour.
- The definition does not dictate particular amounts of classroom time versus out-of-class student work. In determining the amount of work the institution's learning outcomes will entail, the institution may take into consideration alternative delivery methods, measurements of student work, academic calendars, disciplines, and degree levels.
- To the extent an institution believes that complying with the Federal definition of a credit hour would not be appropriate for academic and other institutional needs, it may adopt a separate measure for those purposes.

- Credits may be awarded on the basis of documentation of the amount of work a typical student is expected to complete within a specified amount of academically engaged time, or on the basis of documented student learning calibrated to that amount of academically engaged time for a typical student.

The intent of the above flexibility as provided by Federal guidance is to recognize the differences across institutions, fields of study, types of coursework, and delivery methods, while providing a consistent measure of student work for purposes of Federal programs.

3. Proposed policy

When the new MDiv and MACE curricula are implemented in Fall 2013, the following expectations will be in force with respect to the amount and type of work required to earn one hour of course credit at Union Presbyterian Seminary:

- A. For courses that typically meet four hours per week for 12 weeks and carry 3 hours of course credit, students will receive not less than 45 hours of instruction time with faculty while also working not less than 90 hours on readings and other assignments outside of class time, as required in the course syllabus.
- B. For courses that typically meet three hours per week or three and a half hours per week for 12 weeks (or the equivalent in a short January or May term) and carry 3 hours of course credit, students will receive not less than 35 hours of instruction time with faculty while also working not less than 100 hours on readings and other assignments outside of class time, as required in the course syllabus.
- C. For hybrid-format courses that typically meet for one or two intensive periods of face to face instruction each term and carry 3 hours of course credit, students will receive not less than 18 hours of face to face instruction each term and not less than 17 hours of online instruction while also working not less than 100 hours on readings and other assignments outside of class time, as required in the course syllabus.

4. Interpretive comments on the proposed credit hour policy:

- It is assumed, in accordance with commonly accepted practice in higher education, that an hour of classroom instruction is 50 minutes long.
- It is assumed, in accordance with commonly accepted practice in graduate education, that students will assume increasingly greater responsibility for their own learning as they move through their graduate curriculum. In core, introductory courses, therefore, students ordinarily need more time in class for basic information and foundational instruction from faculty than they do in advanced electives, where opportunities for independent work and the generation of knowledge require more time outside the classroom for research, writing and reflection on the practices of ministry.
- The Academic Programs Committee of the faculty is responsible for ensuring that these guidelines are followed.

Union Presbyterian Seminary
Expense Reimbursement Policy for Employment Candidates
(Faculty and Administrators)

Outlined below are the policies that apply to expense payment or reimbursement for employment candidates (Faculty and certain Administrative Staff) at Union Presbyterian Seminary. If you have questions regarding these policies, please contact the seminary's Vice President for Finance and Administration, Mike Cashwell, at mcashwell@upsem.edu or 804.278.4205.

Special exceptions to these policies will likely be needed for employment candidates (primarily faculty) who reside outside the continental United States.

Interview

Employment candidates who are invited to visit Union Presbyterian Seminary for in-person discussions in consideration of future employment will be reimbursed for reasonable travel costs. If a candidate chooses to have other family members or friends join in that visit, those travel costs will not be reimbursed. Reimbursement will include mileage at the then current IRS approved rate if travel is less than 100 miles, or for travel over a longer distance, economy/coach air fare, or train fare as applicable if those modes of transportation are used. Reimbursement will also be made for required overnight hotel accommodations at rates no higher than the rate paid at the "preferred provider" suggested by the seminary. Meal costs incurred while away from home on overnight visits will be reimbursed up to a maximum of \$50 per day. Other costs incurred during an interview visit (entertainment, souvenirs, books and magazines, etc.) will not be reimbursed.

House Hunting

Pre-move house hunting trips are not deductible by an employee or candidate for employment for Federal and State income tax purposes. Union Presbyterian Seminary does not reimburse expenses associated with house hunting trips prior to or after employment.

Moving Costs

For a candidate who receives and accepts an employment offer from the seminary, the school will pay for the cost of having an authorized contract carrier move household goods from one primary residence to a new residence in or near the city where the new employee will work, subject to the following conditions:

approved: May, 2016

- The new employee is joining the seminary as a member of the faculty or member of the administrative staff and payment of moving expenses is pre-approved by either the seminary President or Vice President of Finance & Administration.
- Total moving expense reimbursement will not exceed \$8000.
- Unless an exception is pre-approved by either the seminary President or Vice President of Finance & Administration, the new employee's current residence is more than 60 miles from the campus on which the employee will normally work.
- Before contracting for a move, a new employee should obtain quotes from at least three qualified movers and accept the lower of those quotes unless justification can be provided for accepting a higher quote.
- In order to minimize tax consequences associated with moving a new employee, the costs of a contract carrier (including any initial deposit) must be paid directly to the carrier by the seminary. Please send all invoices associated with the movement of household goods (including any invoices for a required deposit) directly to the seminary business office at 3401 Brook Road Richmond, Virginia 23227.
- Other costs incurred by a new employee during a move (entertainment, meals, hotel, mileage to move personal vehicles, etc.) will not be reimbursed.



FAMILY AND MEDICAL LEAVE (FMLA) - Full Policy

PURPOSE

The purpose of this policy is to provide employees with a general description of their Family and Medical Leave Act (FMLA) rights. In the event of any conflict between this policy and the applicable law, employees will be afforded all rights required by law. Employees with questions about this policy should contact a member of our Human Resource staff in the Business Office.

GENERAL PROVISIONS

Under this policy, the Seminary will grant up to 12 weeks (*or up to 26 weeks of military caregiver leave to care for a covered service member with a serious injury or illness*) during a 12 month period to eligible employees. The leave may be paid, unpaid or a combination of paid and unpaid leave, depending on the circumstances of the leave and as specified in this policy.

ELIGIBILITY:

To qualify to take family or medical leave under this policy, the employee must meet all of the following conditions:

- The employee must have worked at least 1,250 hours during the 12-month period immediately before the date when the leave is requested to commence. The principles established under the Fair Labor Standards Act (FLSA) determine the number of hours worked by an employee. The FLSA does not include time spent on paid or unpaid leave as hours worked. Consequently, these hours of leave should not be counted in determining the 1,250 hours eligibility test for an employee under FMLA.
- The employee must have worked for the Seminary for 12 months or 52 weeks. The 12 months or 52 weeks need not have been consecutive. Separate periods of employment will be counted, provided that the break in service does not exceed seven years. *Separate periods of employment will be counted if the break in service exceeds seven years due to National Guard or Reserve military service obligations. For eligibility purposes, an employee will be considered to have been employed for an entire week even if the employee was on the payroll for only part of a week or if the employee is on leave during the week.*

TYPES OF LEAVE COVERED:

To qualify as FMLA leave under this policy, the employee must be taking leave for one of the reasons listed below:



- 1) The birth of a child and in order to care for that child.
- 2) The placement of a child for adoption or foster care and to care for the newly placed child.
- 3) To care for a spouse, child or parent with a serious health condition (described below).
- 4) The serious health condition (described below) of the employee.
 - An employee may take leave because of a serious health condition that makes the employee unable to perform the functions of the employee's position.
 - A serious health condition is an illness, injury, impairment, or physical or mental condition that involves either inpatient care or continuing treatment by a health care provider for a condition that either prevents the employee from performing the functions of the employee's job, or prevents the qualified family member from participating in school or other daily activities.
 - Subject to certain conditions, the continuing treatment requirement may be met by a period of incapacity of more than 3 consecutive calendar days combined with at least two visits to a health care provider or one visit and a regimen of continuing treatment, or incapacity due to pregnancy, or incapacity due to a chronic condition. Other conditions may meet the definition of continuing treatment.
 - This policy covers illnesses of a serious and long-term nature, resulting in recurring or lengthy absences. Generally, a chronic or long-term health condition that would result in a period of three consecutive days of incapacity with the first visit to the health care provider within seven days of the onset of the incapacity and a second visit within 30 days of the incapacity would be considered a serious health condition. For chronic conditions requiring periodic health care visits for treatment, such visit must take place at least twice a year.
 - If an employee takes paid sick leave for a condition that progresses into a serious health condition and the employee requests unpaid leave as provided under this policy, the Seminary may designate all or some portion of related leave taken as leave under this policy, to the extent the earlier leave meets the qualifications.
- 5) Qualifying exigency leave for families of members of the National Guard and Reserves when the covered military member is on active duty or called to active duty in support of a contingency operation.
 - An employee whose spouse, son, daughter or parent either has been notified of an impending call or order to active military duty or who is already on active duty may take



up to 12 weeks of leave for reasons related to or affected by the family member's call-up or service. The qualifying exigency must be one of the following:

- short-notice deployment,
 - military events and activities,
 - child care and school activities,
 - financial and legal arrangements,
 - counseling,
 - rest and recuperation,
 - post-deployment activities
 - Additional activities that arise out of active duty provided that the Seminary and employee agree, including agreement on timing and duration of the leave.
- The leave may commence as soon as the individual receives the call-up notice. A son or daughter for this type of FMLA leave is defined the same as for child for other types of FMLA leave except that the person does not have to be a minor. This type of leave would be counted toward the employee's 12-week maximum of FMLA leave in a 12-month period.
- 6) Military caregiver leave (also known as covered service member leave) to care for an ill or injured service member.
- This leave may extend up to 26 weeks in a single 12-month period for an employee to care for a spouse, son, daughter, parent or next of kin covered service member with a serious illness or injury incurred in the line of duty on active duty.
 - Next of kin is defined as the closest blood relative of the injured or recovering service member.

AMOUNT OF LEAVE

An eligible employee can take up to 12 weeks for the FMLA circumstances (1) through (5) above under this policy during any 12-month period. The Seminary will measure the 12-month period as a rolling 12-month period measured **backward** from the date an employee uses any leave under this policy. Each time an employee takes leave, the Seminary will compute the amount of leave the employee has taken under this policy in the last 12 months and subtract it from the 12 weeks of available leave, and the balance remaining is the amount the employee is entitled to take at that time.



An eligible employee can take up to 26 weeks for the FMLA circumstance (6) above (military caregiver leave) during a single 12-month period. For this military caregiver leave, the Seminary will measure the 12-month period as a rolling 12-month period measured **forward**. FMLA leave already taken for other FMLA circumstances will be deducted from the total of 26 weeks available.

If a husband and wife both work for the Seminary and each wishes to take leave for the birth of a child, adoption or placement of a child in foster care, or to care for a parent (but not a parent "in-law") with a serious health condition, the husband and wife may only take a **combined total of 12 weeks of leave**. If a husband and wife both work for the Seminary and each wishes to take leave to care for a covered injured or ill service member, the husband and wife may only take a **combined total of 26 weeks of leave**.

EMPLOYEE STATUS AND BENEFITS DURING LEAVE

While an employee is on leave, the Seminary will continue the employee's health benefits during the leave period at the same level and under the same conditions as if the employee had continued to work.

If the employee chooses not to return to work for reasons other than a continued serious health condition of the employee or the employee's family member or a circumstance beyond the employee's control, the Seminary will require the employee to reimburse the Seminary the amount it paid for the employee's health insurance premium during the leave period.

Under current Seminary policy, the employee pays a portion of the health care premium. While on **paid** leave, the Seminary will continue to make payroll deductions to collect the employee's share of the premium. While on **unpaid** leave, the employee must continue to make this payment, either in person or by mail. The payment must be received in the Business Office by the 1st day of each month. If the payment is more than 30 days late, the employee's health care coverage may be dropped for the duration of the leave. The Seminary will provide 15 days' notification prior to the employee's loss of coverage.

While on FMLA eligible fulltime employees will remain enrolled in the Seminary's life insurance and retirement plans under the same conditions as active employees.

When an employee is on **paid** leave, the employee continues to accrue sick leave and vacation benefits. When an employee is on **unpaid** leave, the employee does not accrue those benefits.

EMPLOYEE STATUS AFTER LEAVE



An employee who takes leave under this policy may be asked to provide a **fitness for duty (FFD) clearance from the health care provider**. This requirement will be included in the Seminary's response to the FMLA request. Generally, an employee who takes FMLA leave will be able to return to the same position or a position with equivalent status, pay, benefits and other employment terms. The position will be the same or one which is virtually identical in terms of pay, benefits and working conditions. The Seminary may choose to exempt certain key employees from this requirement and not return them to the same or similar position.

USE OF PAID AND UNPAID LEAVE

An employee who is taking FMLA leave because of the employee's own serious health condition or the serious health condition of a family member is required to use sick leave. Vacation or Sick leave may run concurrently with FMLA leave if the reason for the FMLA leave is covered by the established sick leave policy.

Disability leave for the birth of a child and for an employee's serious health condition, including workers' compensation leave (to the extent that it qualifies), will be designated as FMLA leave and will run concurrently with FMLA. For example, if the Seminary provides six weeks of pregnancy disability leave, the six weeks will be designated as FMLA leave and counted toward the employee's 12-week entitlement. The employee may then be required to substitute accrued (or earned) paid leave as appropriate before being eligible for unpaid leave for what remains of the 12-week entitlement. An employee who is taking leave for the adoption or foster care of a child may use all paid vacation, personal or family leave prior to being eligible for unpaid leave.

An employee who is using military FMLA leave for a qualifying exigency must use all paid vacation and personal leave prior to being eligible for unpaid leave. An employee using FMLA military caregiver leave must also use all paid vacation, personal leave or sick leave (as long as the reason for the absence is covered by the Seminary's sick leave policy) prior to being eligible for unpaid leave.

INTERMITTENT LEAVE OR A REDUCED WORK SCHEDULE

The employee may take FMLA leave in 12 consecutive weeks, may use the leave intermittently (take a day periodically when needed over the year) or, under certain circumstances, may use the leave to reduce the workweek or workday, resulting in a reduced hour schedule. In all cases, the leave may not exceed a total of 12 workweeks (or 26 workweeks to care for an injured or ill service member over a 12-month period).

The Seminary may temporarily transfer an employee to an available alternative position with equivalent pay and benefits if the alternative position would better accommodate the



intermittent or reduced schedule, in instances of when leave for the employee or employee's family member is foreseeable and for planned medical treatment, including recovery from a serious health condition or to care for a child after birth, or placement for adoption or foster care.

For the birth, adoption or foster care of a child, the Seminary and the employee must mutually agree to the schedule before the employee may take the leave intermittently or work a reduced hour schedule. Leave for birth, adoption or foster care of a child must be taken within one year of the birth or placement of the child.

If the employee is taking leave for a serious health condition or because of the serious health condition of a family member, the employee should try to reach agreement with the Seminary before taking intermittent leave or working a reduced hour schedule. If this is not possible, then the employee must prove that the use of the leave is medically necessary.

CERTIFICATIONS FOR LEAVE

Certification for the Employee's Serious Health Condition

The Seminary will require certification for the employee's serious health condition. The employee must respond to such a request within 15 days of the request or provide a reasonable explanation for the delay. Failure to provide certification may result in a denial of continuation of leave. Medical certification will be provided using the DOL Form WH-380-E
Certification of Health Care Provider for Employee's Serious Health Condition

The Seminary may directly contact the employee's health care provider for verification or clarification purposes using a health care professional, an HR professional, leave administrator or management official. The Seminary will not use the employee's direct supervisor for this contact. Before the Seminary makes this direct contact with the health care provider, the employee will be given an opportunity to resolve any deficiencies in the medical certification. In compliance with HIPAA Medical Privacy Rules, the Seminary will obtain the employee's permission for clarification of individually identifiable health information.

The Seminary has the right to ask for a second opinion if it has reason to doubt the certification. The Seminary will pay for the employee to get a certification from a second doctor, which the Seminary will select. The Seminary may deny FMLA leave to an employee who refuses to release relevant medical records to the health care provider designated to provide a second or third opinion. If necessary to resolve a conflict between the original certification and the second opinion, the Seminary will require the opinion of a third doctor. The Seminary and the employee will mutually select the third doctor, and the Seminary will pay for the opinion. This



third opinion will be considered final. The employee will be provisionally entitled to leave and benefits under the FMLA pending the second and/or third opinion.

Certification for the Family Member's Serious Health Condition

The Seminary will require certification for the family member's serious health condition. The employee must respond to such a request within 15 days of the request or provide a reasonable explanation for the delay. Failure to provide certification may result in a denial of continuation of leave. Medical certification will be provided using the DOL Form WH-380F
Certification of Health Care Provider for Family Member's Serious Health Condition.

The Seminary may directly contact the employee's family member's health care provider for verification or clarification purposes using a health care professional, an HR professional, leave administrator or management official. The Seminary will not use the employee's direct supervisor for this contact. Before the Seminary makes this direct contact with the health care provider, the employee will be given an opportunity to resolve any deficiencies in the medical certification. In compliance with HIPAA Medical Privacy Rules, the Seminary will obtain the employee's family member's permission for clarification of individually identifiable health information.

The Seminary has the right to ask for a second opinion if it has reason to doubt the certification. The Seminary will pay for the employee's family member to get a certification from a second doctor, which the Seminary will select. The Seminary may deny FMLA leave to an employee whose family member refuses to release relevant medical records to the health care provider designated to provide a second or third opinion. If necessary to resolve a conflict between the original certification and the second opinion, the Seminary will require the opinion of a third doctor. The Seminary and the employee will mutually select the third doctor, and the Seminary will pay for the opinion. This third opinion will be considered final. The employee will be provisionally entitled to leave and benefits under the FMLA pending the second and/or third opinion.

Certification of Qualifying Exigency for Military Family Leave

The Seminary will require certification of the qualifying exigency for military family leave. The employee must respond to such a request within 15 days of the request or provide a reasonable explanation for the delay. Failure to provide certification may result in a denial of continuation of leave. This certification will be provided using the DOL Form WH-384
Certification of Qualifying Exigency for Military Family Leave.

Certification for Serious Injury or Illness of Covered Service Member for Military Family Leave



The Seminary will require certification for the serious injury or illness of the covered service member. The employee must respond to such a request within 15 days of the request or provide a reasonable explanation for the delay. Failure to provide certification may result in a denial of continuation of leave. This certification will be provided using the DOL Form WH-385 Certification for Serious Injury or Illness of Covered Service Member.

RECERTIFICATION

The Seminary may request recertification for the serious health condition of the employee or the employee's family member no more frequently than every 30 days and only when circumstances have changed significantly, or if the Seminary receives information casting doubt on the reason given for the absence, or if the employee seeks an extension of his or her leave. Otherwise, the Seminary may request recertification for the serious health condition of the employee or the employee's family member every six months in connection with an FMLA absence. The Seminary may provide the employee's health care provider with the employee's attendance records and ask whether need for leave is consistent with the employee's serious health condition.

PROCEDURE FOR REQUESTING FMLA LEAVE

All employees requesting FMLA leave must provide verbal or written notice of the need for the leave to the Human Resource staff in the Business Office. Within five business days after the employee has provided this notice, the Human Resource staff in the Business Office will respond to the employee by completing and providing the employee with the DOL Form WH-381 Notice of Eligibility and Rights & Responsibilities. When the need for the leave is foreseeable, the employee must provide the Seminary with at least 30 days' notice. When an employee becomes aware of a need for FMLA leave less than 30 days in advance, the employee must provide notice of the need for the leave either the same day or the next business day. When the need for FMLA leave is not foreseeable, the employee must comply with the Seminary's usual and customary notice and procedural requirements for requesting leave, absent unusual circumstances.

DESIGNATION OF FMLA LEAVE

Within five business days after the employee has submitted the appropriate certification form, the Human Resource staff in the Business Office will complete and provide the employee with a written response to the employee's request for FMLA leave using the DOL Form WH-382 Designation Notice.

INTENT TO RETURN TO WORK



On a basis that does not discriminate against employees on FMLA leave, the Seminary may require an employee on FMLA leave to report periodically on the employee's status and intent to return to work.

WORKERS' COMPENSATION AND FAMILY AND MEDICAL LEAVE

Generally and when applicable, a leave of absence for Workers' Compensation runs concurrently with an employee's FMLA entitlement. In the rare instance that Workers' Compensation leave extends beyond a full 12 weeks, FMLA leave will have been exhausted.

If an employee who was injured on the job and as a result suffered a "serious health condition" declines the offer of a medically-approved "light duty" position, the employee should notify Human Resource staff in the Business Office that they choose to exercise family and medical leave rights, if so eligible. If the employee accepts the "light duty" position in lieu of any family and medical leave or returns to work within 12 weeks after the date of the injury, the employee will retain his right to be restored to the same or an equivalent position until 12 weeks have passed unless a decision or event not related to the employee's leave of absence occurs which results in the termination of the employee or the elimination of the job position.

OUR COMPANIES RESPONSIBILITIES

Union Presbyterian Seminary will inform employees requesting leave whether they are eligible under FMLA, or if additional information is required to determine eligibility. In addition, Union Presbyterian Seminary will provide a notice of the employees' rights and responsibilities. If they are not eligible, Union Presbyterian Seminary will provide a reason for the ineligibility.

Union Presbyterian Seminary will inform employees if leave will be designated as FMLA-protected and the amount of leave counted against the employee's leave entitlement. If the Seminary determines that the leave is not FMLA-protected, we will notify the employee accordingly.

UNLAWFUL ACTS

FMLA makes it unlawful for any employer to:

- interfere with, restrain, or deny the exercise of any right provided under FMLA; and
- discharge or discriminate against any person for opposing any practice made unlawful by FMLA or for involvement in any proceeding under or relating to FMLA.

ENFORCEMENT

An employee may file a complaint with the U.S. Department of Labor or may bring a private lawsuit against an employer.



FMLA does not affect any Federal or State law prohibiting discrimination, or supersede any State or local law or collective bargaining agreement which provides greater family or medical leave rights.

QUESTIONS ABOUT FAMILY AND MEDICAL LEAVE

If you have any questions about your rights or responsibilities under this policy, contact your manager or a Human Resource staff member in the Business Office.

Firearms Policy

The possession or use of firearms (other than by an authorized law enforcement representative), as well as the possession or use of explosives or other dangerous weapons, is strictly prohibited on any property owned or used by Union Presbyterian Seminary.

Intentionally Left Blank



Union Presbyterian Seminary

Gift Acceptance Policy

Our Mission

Union Presbyterian Seminary equips Christian leaders for ministry in the world — a sacred vocation that requires deep learning, commitment to service, and an ability to read culture and circumstance in the light of the rich resources of scripture and theological tradition.

Purpose

The Seminary's core mission is to participate in the mission of the church by forming and equipping leaders for the work of ministry, for building up the body of Christ (*Eph 4:12*).

Core Values

- We confess the Lordship of Jesus Christ.
- We weave together distinctive approaches to theological education for pastoral and educational ministries.
- We educate, inspire, and empower leaders for congregational life, theological scholarship, and bold Christian service to the world.
- We serve as a theological resource for church and society.
- We are a catalyst for the transformation of the church, and through the church, the world.

Theology of Vision

As a seminary, a teaching institution of the church, Union Presbyterian seeks to bear witness to the ministry of Jesus Christ in the present. The Seminary's task is to testify to Christ's presence among us and to heed his call to participate in the Reign of God through the power of his Spirit. God's future is already at work among us. It calls us to equip those whom God has called to look for the future disclosed in Jesus Christ, cultivating in them gifts of discernment and study, proclamation and teaching, so that they can live and proclaim the Reign of God and call others to joyful participation in this rule. The Seminary's mission, then, will be oriented around and focused on bearing witness to the Reign of God, made known in Jesus Christ in the here and now, through our curricular actions, our stewardship of personnel (board,

faculty, students, staff, alumni/ae) and our infrastructure (land, buildings, classrooms, technology, endowment, etc.).

Purpose of Gift Acceptance Policy

To encourage gifts consistent with the values and objectives of Union Presbyterian Seminary and to identify, manage, and minimize problems and issues with complex gifts. Union Presbyterian Seminary is qualified to receive tax-deductible contributions under the current IRS code [Section 170(b)(1)(A)].

Principal Values

1. Union Presbyterian welcomes all gifts from donors interested in enhancing its mission and vision; Union Presbyterian cannot accept gifts that require deviation from the mission and vision.
2. Union Presbyterian recognizes that donors have a legitimate interest in the use by the Seminary of their gifts and will work to reach gift agreements that are in the best interest of both donor and the Seminary.
3. Union Presbyterian will work to educate donors and potential donors about the greatest institutional needs of the Seminary to ensure best gifts.
4. Union Presbyterian will abide by all federal and state regulations when cultivating, soliciting, and accepting gifts.

Gift Acceptance Committee

A committee comprising the following or his/her designee will have ultimate authority to accept or decline gifts upon behalf of the President and Board of Trustees:

The Vice President, Advancement and
The Vice President for Finance and Administration.

Staff Responsibility

Union Presbyterian staff members are responsible for informing, guiding, and assisting donors to fulfill their philanthropic wishes for the Seminary and never to improperly influence donors' decisions. Union Presbyterian encourages donors to consult with their professional tax advisors when contemplating charitable gifts.

Use of Professional Advisors

Union Presbyterian will seek the advice of legal, tax, or other counsel as appropriate for the protection of the Seminary. Such circumstances could be, but are not limited to, the following:

Review of certain gifts with restrictions, e.g. closely-held or restricted stock or transactions governed by contracts or other legal documents,
Review of all gift transactions with potential conflicts of interest,
Other transactions deemed appropriate by the Gift Acceptance Committee.

Donors will be reminded to consult their own professional tax and legal advisors when making significant charitable gifts. Members of the Union Presbyterian staff will not recommend any specific advisor to prospective donors, but may make available a list of qualified advisors for donor review.

Payment of Fees Related to Gifts

Professional Fees

Union Presbyterian will pay reasonable fees for professional services rendered in connection with the completion of a gift to the Seminary. Such fees will be paid only with prior approval of the Gift Acceptance Committee and following discussion with and approval by the donor.

Fees shall be reasonable and directly related to the completion of a gift. They shall be limited to:

- appraisal fees by persons who are competent and qualified to appraise the property proposed and who have no conflict of interest,
- legal fees for the preparation of documents,
- fees related to providing preliminary opinions related to environmental issues, and
- accounting fees incidental to a transaction.

In the case of legal, accounting and other professional fees, an attempt shall be made to ascertain the reasonableness of fees prior to payment. An hourly breakdown of time should be requested.

In cases where Union Presbyterian is asked to pay fees to persons initially employed by the donor, the donor shall be notified that the payment of such fees may result in taxable income to the donor in the amount of the fees paid.

Finder's Fees or Commissions

In general, Union Presbyterian will pay no fee to any person in consideration of directing a gift to the Seminary. Such fees may or may not be legal and, in the case of irrevocable deferred gifts that involve management of assets, the payment of such fees may subject Union Presbyterian and its management and Board of Trustees to federal and state security regulation.

No commission or finder's fee of any type will be paid to any party in connection with the completion of a gift to Union Presbyterian.

Conflict of Interest

Donors are encouraged to seek independent professional counsel prior to making gifts. Union Presbyterian upholds the commitments in the following professional advancement/development organizations' statements:

- Model Standards of Practice for the Charitable Gift Planner (PPP)
- Code of Ethical Principles and Standards (AFP)
- Statement of Ethics (CASE)

Assets Accepted as Gifts

Unrestricted gifts listed below are accepted by the Seminary under the guidelines described. All checks or transfer documents should be made out to Union Presbyterian Seminary and never to an employee, agent, or volunteer.

Cash and cash equivalents

Gifts of cash, checks, money orders, credit card charges, electronic bank transfers, wire transfers, and payroll deduction gifts are gratefully welcomed by the Seminary.

Marketable securities

Marketable securities are accepted in the form of electronic transfer to Union Presbyterian's broker (preferred), delivery of non-negotiated paper stock certificate with completed stock power form - either delivered by hand or via mail. Union Presbyterian will sell all marketable securities immediately upon receipt.

Real estate

Gifts of real estate may often be beneficial to both donor and the Seminary. However, marketability and environmental risk must be assessed prior to the Seminary's acceptance of such gifts. Procedures described in Union Presbyterian Seminary Gift Acceptance Procedures will be followed to determine whether or not a proffered gift will be reviewed by the Gift Acceptance Committee.

Proposed gifts of real estate encumbered by a mortgage generally will be discouraged, as the ownership of such property may generate unrelated business income and disqualification of certain split interest gifts unless handled in a proper manner.

Oil, gas, and mineral interests

Union Presbyterian generally does not accept gifts of oil, gas, or mineral interests, including surface rights to such minerals but may choose to do so via the Gift Acceptance Committee as long as income does not subject the Seminary to UBTI.

Closely held securities

Gifts of closely held securities will be reviewed by the Gift Acceptance Committee to determine acceptance.

Bargain sales

A bargain sale of real or tangible property will be reviewed by the Gift Acceptance Committee to determine acceptance.

Tangible Personal Property

Friends who inquire about giving an item to the Seminary should first be informed of the policies regarding donations and tax exemptions. The VP Advancement should contact the potential donor to explain the policies and learn about the item. If the gift is of interest, this can include a visit to the donor's home to look at the item.

Gifts of tangible personal property (such as jewelry, artwork, and certain collectibles) will generally be accepted by Union Presbyterian if they qualify as "related use" items within the IRS Code or are readily marketable by the Seminary. Related use will be determined by the Gift Acceptance Committee in consultation with the appropriate department heads, deans, or others who may use the property.

Responsibility of appraisal and claiming value of gifts-in-kind and tangible personal property donated to the Seminary remains with the donor. This means that donors must secure an independent appraisal as described by IRS code to claim an income tax charitable deduction. Proposed gifts of tangible personal property should be accompanied by a statement of provenance and a full description of the property. Donors of art objects are required to complete a Deed of Gift—Art Objects form (Appendix I). If possible the provenance of an item will be acknowledged on the donation.

In addition to written thanks, the staff will determine appropriate public acknowledgement of the gift in consultation with the donor.

Legal title and all rights of ownership shall pass to Union Presbyterian. The Seminary has the right to decide on sale, retention, or display of objects. If retained, art objects will not necessarily be on permanent display. If items are to be sold, the Seminary will so notify the donor of its intent and will provide the donor with a copy of IRS form 8282 for his/her tax purposes. The Office of Gift Planning will also remind the donor to file IRS form 8283, under guidance of his/her professional tax advisor, for a charitable income tax deduction.

No personal property shall be accepted requiring ownership in perpetuity without express approval of the Gift Acceptance Committee. No perishable property or property that will require special facilities or security will be accepted without prior approval of the Gift Acceptance Committee.

Gift annuities

Union Presbyterian welcomes gifts in the form of charitable gift annuities as governed by the standard Union Presbyterian CGA contract. (Appendix) Gifts of property other than marketable securities or cash will be reviewed by the Gift Acceptance Committee prior to acceptance. Rates paid on CGAs will follow those set by the American Council on Gift Annuities.

Potential donors of gift annuities will receive the Union Presbyterian disclaimer prior to completing the gift. (Appendix)

Deferred gift annuities

Deferred gift annuities are also accepted by the Seminary subject to the same principals stated above. Donors are strongly urged to discuss designation of such deferred gifts with a member of the development staff to ensure donors intentions can be carried out.

Pooled income fund

Union Presbyterian no longer operates a pooled income fund but reserves the right to establish one if fiscal circumstances are once again beneficial to doing so.

Donor advised funds

Union Presbyterian will not establish or maintain donor advised funds although gifts from such funds held by others are gratefully received when in accord with Seminary policies and procedures.

Charitable remainder trusts

The Seminary welcomes donor establishment of charitable remainder (uni- or annuity) trusts where Union Presbyterian is the sole or partial beneficiary. The VP, Advancement offers expertise in designing such instruments, especially in the area of designation language, but does not serve as trustee for these trusts. Gift planning staff members also may suggest options for attorneys experienced in drafting CRTs and persons experienced in trusteeship. (See "Use of Professional Advisors," above.)

Charitable lead trusts

The Vice President, Advancement will work with potential donors of gifts from charitable lead trusts to assist them in determining ideal scenarios of trust establishment and design, experienced attorneys for drafting CLTs, and experienced trustees. Union Presbyterian does not serve as trustee of these trusts. (See "Use of Professional Advisors," above.)

Remainder interests in property

Union Presbyterian accepts remainder interests in property and prefers to know about the donors' intentions as soon as the gift is established to ensure that gift designation, environmental, and management concerns are handled in both the donors' and Seminary's best interests.

Life insurance

Union Presbyterian encourages gifts of fully-funded life insurance policies if no longer needed by the donor. Gifts of policies requiring continued premium payments are highly discouraged as excessive staff time is required for their maintenance. Exceptions to this policy must be approved by the Gift Acceptance Committee.

Bequests

Gifts made through bequests are welcomed by the Seminary. The Vice President for Advancement or the Advancement calling officer are available to assist with specific wording of bequests that result in proper designations for the gift as well as transferring of the property to the Seminary with minimal activity required. Union Presbyterian reserves the right to disclaim bequests that are not in accordance with its mission and vision.

If undesignated bequests are received in the amount of \$10,000 or less, the funds will be directed to the Seminary's Annual Fund for that year. 90% of

bequest gifts greater than \$10,000 will be added to the Seminary's endowment with the remaining 10% directed to the Annual Fund.

Retirement Plan beneficiary designations

The Seminary is pleased to be named as a beneficiary of retirement plans. Donors are encouraged to consult a member of the Advancement staff to ensure proper language for the gift's designation and its intended purpose.

Other unique gifts

Union Presbyterian occasionally is offered unique items as gifts such as livestock, equipment, partnership interests, patents, et cetera. These special gifts will be reviewed by the Gift Acceptance Committee to determine related use, marketability, and risk to the Seminary. See Union Presbyterian's Gift Acceptance Procedures (Appendix) for details of giving specific assets.

Restricted gifts

Restricted gifts will be reviewed as appropriate to determine acceptability, but generally gifts designated to programs and departments of Union Presbyterian within its mission and vision will be accepted if the head or the program or department deems the gift useful. Restricted gifts unlikely to be accepted include those requiring substantial staff time for administration, unmarketable property gifts, or gifts that may potentially put the Seminary at risk in any way.

Recognition of Gifts and Donors

Union Presbyterian values the opportunity to recognize its donors for their generosity. Donors' names may be listed or displayed where naming of a building, room, or other physical facility is appropriate and in accordance with prevailing naming opportunity procedures. Plaques or other markers will be consistent with the design of the campus and the space being named. Donors may give instructions for the specific listing of their names.

The Seminary may occasionally print a "donor honor roll" for its constituents listing all donors in various categories, but in general names of donors are not broadly publicized without specific permission from the donor.

Valuation of Gifts

Union Presbyterian values gifts in accordance with IRS and FASB standards. Credit for gifts (for tax deduction purposes) is given directly to the person, persons, or organization making the gift. "Soft" or secondary credit may be given to persons instrumental in completing the gift for recognition purposes. Gifts will be recorded in

the Seminary's financial records according to general accounting standards and will be reconciled with gift records regularly. See "Acceptance Policy for Outright Gifts" (p. 1ff) and "Deferred Gifts" (p.5ff), Union Presbyterian Gift Acceptance Procedures. See Valuation Guidelines, Appendix.

Receipts for gifts will be generated by the Seminary's Advancement Services department, ideally within 48 hours of notice of receipt of the gift. Gift receipts will be in the amounts determined by the IRS code. Donors should consult their professional tax advisors when claiming charitable income tax deductions.

Gift receipts will include information for the donor regarding any quid pro quo arrangements in the gift transaction as determined by the IRS code.

Policy Review and Amendment

Both the Gift Acceptance Policies and Gift Acceptance Procedures shall be reviewed biannually by the Vice President for Advancement or his designee to revise details or immaterial changes in practice (e.g. changes in investment account numbers, broker names, staff person designated to implement certain procedures, etc.)

Both documents shall be reviewed by the Vice President for Advancement, the Advancement calling officer, and a member of the Board's Advancement committee every three years or at any time that changes may be triggered. These events may include changes to tax law, changes in leadership of Union Presbyterian, or change in the mission or vision of the Seminary. Any substantial recommended changes will be presented to the Advancement committee of the Board of Trustees through the Vice President for Advancement or his designee.

Intentionally Left Blank

GUIDELINES FOR EMPLOYMENT OF INTERNATIONAL STUDENTS

International students are eligible for a variety of work opportunities in the U.S., but their employment without proper authorization is a serious violation of visa status. All types of employment of international students are regulated by the government and are subject to a number of restrictions.

These brief guidelines have been prepared as an aid to understanding government regulations. However, these guidelines are not exhaustive. Each case requires the oversight and permission of the dean of Union Presbyterian Seminary, Richmond Campus. Before starting employment of any kind, even employment related to field education, you must first consult the dean of Union Presbyterian Seminary, whose written approval is necessary in advance.

If you have questions relating to employment of international students, contact April Swofford, 278-4231, in the Office of the Dean of Union Presbyterian Seminary, Richmond Campus, 104 Watts Hall.

INTERNATIONAL STUDENTS ON AN F-1 VISA

International students on an F-1 visa may work up to 20 hours per week on campus. Additional restrictions apply to off-campus employment.

International students who are officially employed must file for social security cards with the local social security office. They must pay U.S. income tax on wages earned, whether they are employed by a company or self-employed.

SPOUSES OF F-STUDENTS

The spouses of F-students are not permitted to work while in the U.S.

F-1 CURRICULAR PRACTICAL TRAINING

Curricular Practical Training (CPT) is defined as alternated work/study, internship, cooperative education, or any other type of required internship or practicum that is offered by sponsoring employers through cooperative agreements with Union Presbyterian Seminary. The CPT application requires an approval from the Foreign Student Advisor in the office of the Academic Dean of Union Presbyterian Seminary (Watts 104) prior to the beginning date of the training.

Eligibility

The student must have been in lawful full-time status for one full academic year.

Employment must be in the student's field of study, appropriate given the student's degree level, and taken for one of the following reasons:

1. to supplement coursework (must give course number and title);
2. to assist in research which will be incorporated into final thesis/dissertation;
3. to enhance current coursework with practical application;
4. to fulfill degree requirements.

Documentation of an offer of employment is required in order to apply for CPT. The student may begin employment only after the receipt of official approval from the Foreign Student Advisor. This approval will be a CPT endorsement on the third page of the I-20. Work authorization can be given for only one year at a time. Each successive year the student will

need to re-apply by filling out the entire application again (including a letter detailing the offer of employment).

The student must be in good academic standing at the time of application and must maintain good academic standing while employed.

Required documentation

The student must submit to the Foreign Student Advisor (in 104 Watts Hall) the following documentation:

- Prospective Employer Letter specifying job title, duties, beginning and ending dates, and number of hours per week (see Foreign Student Advisor for a sample.);
- the academic advisor's endorsement.

Application process

- review the instructions;
- obtain an offer letter from the Prospective Employer;
- request the academic advisor's endorsement;
- collect all documentation and make an appointment with the Foreign Student Advisor;
- allow 5 to 10 business days for the processing of the application;
- pick up the endorsed I-20 form prior to the beginning date of the training/employment.

Additional information

Part-time curricular practical training (CPT) is employment for 20 hours or less per week while the student is simultaneously enrolled in classes. Full-time CPT is employment for more than 20 hours per week, it is usually only available during periods when classes are not in session. Students who engage in one year or more of fulltime CPT are ineligible for optional practical training (OPT) after completion of the student's degree program. Part-time CPT does not count in determining eligibility for OPT.

If the student does not already have a Social Security number, he or she must apply for one in order to complete the approval process for CPT. A letter of authorization will be needed from the Foreign Student Advisor and also a letter from the prospective employer.

Work authorization from the Foreign Student Advisor is necessary for all employment, whether on campus or off campus.

Housing Procedure

Union Presbyterian Seminary has developed the following policies related to living on campus. All resident students must agree to abide by the following:

1. Only full-time students are eligible for campus housing. Exceptions to the policy must be approved by the housing coordinator and shall involve non-student residents who are involved in the work of the mission of the school.
2. Pets are allowed only in Melrose and certain Advance apartments, and only after registering pet(s) with the Housing Coordinator. Possession of a pet in any other housing unit or without registration will be considered a violation of the lease and grounds for eviction. Glass terrariums (with ventilation) and aquariums may be kept in any campus dorm or apartment. Terrariums and aquariums are limited to 20-gallon size. See the Pet Policy in the Student Handbook for further information.
3. New students moving into campus housing for summer language school may move in one week prior to the start of class. New students moving into campus housing for the fall term may move in according to the following: students with children in a Richmond area school may move into campus housing up to two weeks before public school begins; students without children in school may move into campus housing one week before orientation begins; International students attending the Language and Cultural Immersion Program may move in the week the program begins.
4. Students may change their on-campus housing assignments during the year only with the permission of the Housing Coordinator.
5. Students returning to Union Presbyterian Seminary in the fall may stay in their apartments or dorm rooms during the summer. Graduating students without school-age children must vacate their apartments or dorm rooms by 5 p.m. on the Friday following graduation. Graduating students with school-age children must vacate their apartments by three days after the close of the children's schools. To request a later departure time, a student should send a letter to the Housing Coordinator, who will consult with the Housing Committee if needed.
6. Students who will be returning to the same apartment or dorm room and who will be out of their room or apartment for a period of at least eight consecutive weeks may leave their belongings in their apartment or dorm room over the summer months and pay a storage fee of \$17 per week for the dorms or \$29 per week for the apartments. Students who will be paying a storage fee must turn in their keys before leaving campus. Keys will not be issued to anyone not listed on the lease. If there is a special circumstance where another individual needs legitimate access to your room the lessee must contact the housing coordinator by phone at 804-278-4218 to give permission. Students who move out of campus housing within two months after using the storage status will have their storage fees reversed and be charged half-rent for the storage time. The storage rate is available for a maximum of 3 months per academic year.
7. Residents of both apartments and dorms are reminded that our community is made up of a diverse mixture of singles, couples, and families, as well as various national, ethnic, and denominational backgrounds. Learning to be respectful and appreciative of others can be challenging on a day-to-day basis-like how we process neighbor noise. Knowing your neighbors, communicating and caring for one another is vital. With this in mind, please be mindful of your activities and keep noise to an appropriate level.
8. There is no storage space available outside of dorm rooms and apartments. Hallways and stairwells must be kept clear of personal items at all times. Gas or charcoal grills may not be stored inside the buildings. Canoes, motorbikes, freezers, extra appliances, etc. may not be stored in the basements.
9. Apartments and rooms should be maintained in a safe and sanitary condition at all times.
10. Furniture and Appliance Guidelines

The furniture in dorm rooms and apartments that are rented as furnished must remain in the room or apartment unless arrangements are made with the Physical Plant to remove items.

Lofts are not permitted. Waterbeds are permitted only in Advance apartments.

Coin-operated washers and dryers are located in laundry areas convenient to each room or apartment. Students may not have personally owned washers or dryers in campus housing.

Dormitory Rooms: All electrical appliances must be UL approved (Underwriter's Laboratory) and be in good working order. Hotpots, popcorn poppers and coffee pots, which are contained in an enclosed unit, are permitted. Toasters, toaster ovens, microwave ovens, and hot plates are not allowed in dorm rooms. One compact refrigerator, which clearly conforms to proper electrical standards, operates on no more than 2.5 amps, has a capacity not exceeding 5 cubic feet, and whose maximum outside dimension does not exceed 48 inches, is permitted in each room. Freezers are not permitted.

Community kitchens are provided in both dorms. Residents are expected to share this space with their neighbors and be respectful at all times of the property of other residents. Items in the pantries and refrigerators/freezers should be labeled with the owner's name. Residents using the kitchens are expected to clean up after themselves. Failure to follow these rules may result in loss of campus housing privileges.

Auxiliary heaters may not be used. Only approved UL extension cords are permitted in the Residence Halls and power strips with built-in circuit breakers or surge protectors are recommended.

Halogen lamps may be a fire hazard and students are asked not to bring them to campus.

Adhesive backed paper should not be used on walls, shelves, cabinets, floors, etc.

Students may not install window air-conditioner units in dorm rooms because of limited electrical service capacity.

Apartments: Each apartment is equipped with a range and refrigerator, which may not be removed. Only one refrigerator is permitted in each apartment. Freezers are not permitted. Auxiliary heaters may not be used. Only UL approved extension cords are permitted and students are encouraged to use power strips with built in circuit breakers or surge protectors.

Halogen lamps may be a fire hazard, and students are asked not to bring them to campus. Adhesive backed paper should not be used on walls, cabinets, shelves, floors, etc.

11. Residents may not paint dorm room and apartment walls. Care should be taken in hanging pictures and other items on the walls. A charge for any damage to walls will be deducted from the security deposit. Nothing may be attached to the exterior walls of the dorm or apartment buildings.
12. Commuting students enrolled in a degree program may stay in a dorm room on campus for up to two nights a week as long as there is space available. The room will not be available for the student's use during the rest of the week. The \$15 per night fee will be charged to the student's account.
13. Visitors (overnight): Campus apartments are provided for students, their spouses and their children. There is a 30-day limit for a visitor in a campus apartment not listed on the lease. Longer visits must be approved in advance by the Housing Coordinator. Students may arrange overnight accommodations for visitors by contacting Elizabeth DiStanislao for Paisley Hall and Thompson House (804-278-4301) or Carol Sutton-Abaire for apartment or dorm rooms (804-278-4218).
14. Students residing in campus housing may retain assignment in subsequent years or request a different assignment. Assignments will be made according to priorities among levels of students as listed below.

Students will continue to accumulate priority level each year as long as they qualify for campus housing. The highest housing priority afforded any student will be 4th year. Lots will be drawn if two or more students with the same priority want the same space.

15. Students are assigned apartment sizes according to the priorities for size of apartment guidelines listed below. In order to be counted for an apartment, children must be living full-time with the student. Students whose household size is decreased, for whatever reason, may be required to move to a smaller apartment to make room for larger families in need of more space.
16. Apartments may be made available to single students each year depending on availability. Assignment will be made according to class level priorities. The number of occupants in an apartment must correspond to the number of bedrooms (one student/one bedroom, two students/two bedrooms). When sharing a multiple bedroom apartment all occupants must be of the same gender. While it is assumed that the rent for shared apartments will be equally divided among the residents, each individual must sign the lease and is obligated for the entire amount until it is paid.

PRIORITIES AMONG LEVELS OF STUDENTS:

1. 3rd-level M.Div. students who have completed an intern year, 4th year Ph.D., 4th & 5th Dual Degree.
2. 3rd-level M.Div. or intern M.Div., 3rd year Ph.D., 3rd year Dual Degree, 2nd year M.A.C.E.
3. 2nd level M.Div., 2nd year Ph.D., and 2nd year Dual Degree students.
4. All 1st-level students who will remain in the 1st-level in the fall.
5. All entering students. Priority determined by the date housing application and deposit is received.

PRIORITIES FOR SIZE OF APARTMENTS

Note: Priority system, i.e., based on 'family size within level~ applies to all apartments.

GROUP I -FOR FOUR-BEDROOM APARTMENTS

1. parent or married couple with four or more children based on age and sex
2. parent or married couple with three children based on age and sex
3. four single students if apartments are available

GROUP II -FOR THREE-BEDROOM APARTMENTS

1. parent or married couple with three children based on age and sex
2. parent or married couple with two children based on age and sex
3. three single students if apartments are available

GROUP III-FOR TWO-BEDROOM APARTMENTS

1. parent or married couple with three children if three-bedroom apts. are not available
2. parent or married couple with two children
3. parent or married couple with one child
4. Married couple when both are Union Presbyterian Seminary students
5. married couple
6. two single students of same gender if apartments are available

GROUP IV -FOR ONE-BEDROOM APARTMENTS

1. parent or married couple with one child if two-bedroom apartment is not available.
2. married couple.
3. one single student if apartments are available

First month's rent and a security deposit equal to one month's rent are due at beginning of lease. Security deposit, less any amount charged for damages, will be refunded after the room or apartment has been vacated and inspected

A rent credit of \$30 per month is available to apartment student residents upon proof of subscription to a high-speed internet service (Union Presbyterian Students only). Wireless internet connection is provided to dorm residents at no cost.

Intentionally Left Blank



Union Presbyterian Seminary, Charlotte Campus Inclement Weather Policy

The primary purpose of Union Presbyterian Seminary, Charlotte Campus is to accomplish its mission. All of us, faculty, administration, staff, and students have that responsibility.

As a general rule, Union Presbyterian Seminary will remain open on its normal schedule. Classes will ordinarily be held, but if in the judgment of the dean, inclement weather requires classes be cancelled or the start of school delayed, appropriate announcements will be communicated through the TV media, the Alert Message system, and UPSem email.

Students who are unable to attend class due to inclement weather and associated road conditions will not be penalized for missing class. Students should communicate directly with the course instructor regarding their circumstance. No student should risk injury by traveling in hazardous conditions to attend class.

Campus offices will also be open, and staff is expected to report unless their personal safety is of major concern to them. Staff should communicate directly with their supervisor regarding their circumstances. Time missed can be made up or counted as vacation or personal leave by mutual agreement of the employee and supervisor.

If in the judgment of the Dean of the Charlotte Campus, after appropriate consultation, the situation requires that all or part of the institution be closed or opening delayed, an announcement will be made as soon as possible on **television stations WSOCTV, WBTV, and WCNC**. Information will also be available from 6:00 a.m. each day at 980.636.1700 ext. 6 and when possible, via Union Presbyterian Seminary e-mail. In the event of an extended loss of power, our primary telephone system may not be operational.

A best effort will also be made by the UPSem administration to send an email message to all members of the community regarding changes in the school's schedule due to emergency or inclement weather.

Note that only in extreme circumstances (e.g. extended campus-wide power outage) will UPSem, once open for the day, close early. If early closing is required, situation specific arrangements will be made regarding missed classes. Any staff member who feels the need to leave early due to weather conditions may do so in consultation with his or her supervisor regarding options for making up lost time or using personal/vacation time. We will make every attempt to have school open on the second day of a storm.

Revised: July 02, 2014

Intentionally Left Blank

Union Presbyterian Seminary Inclement Weather Policy for the Richmond Campus

UPSem Inclement Weather Hotline at 804-278-4364 and on our main number, (800) 229-2990

Students who are unable to attend class due to inclement weather and associated road conditions will not be penalized for missing class. Students should communicate directly with the course instructor regarding their circumstance. No student should risk injury by traveling in hazardous conditions to attend class.

Campus offices will also be open, and staff members are expected to report unless their personal safety is of major concern to them. Staff should communicate directly with their supervisor regarding their circumstances. Time missed can be made up or counted as vacation or personal leave by mutual agreement of the employee and supervisor.

If in the judgment of the V.P. of Administration, after appropriate consultation, the situation requires that all or part of the institution be closed or opening delayed, an announcement will be made as soon as possible on television station WWBT, Channel 12, CBS WTVR Channel 6, and on radio stations WRVA 1140 AM, WRXL 102.1 FM, WRNL 910 AM, and WRVQ 94.5 FM.

Interested parties are also encouraged, when possible, to check media web sites www.nbc12.com and www.wrva.com to locate announcements regarding any delay or closing of UPSem at Richmond.

Closing and delay information will be available on the **UPSem Inclement Weather Hotline at 804-278-4364 and on our main number. (800) 229-2990.** In the event of an extended loss of power, our primary telephone system may not be operational.

A best effort will also be made by the UPSem administration to send an email message to all members of the community regarding changes in the school's schedule due to emergency or inclement weather.

Note that only in extreme circumstances (e.g. extended campus-wide power outage) will UPSem, once open for the day, close early. If early closing is required, situation specific arrangements will be made regarding missed classes. Any staff member who feels the need to leave early due to weather conditions may do so in consultation with his or her supervisor regarding options for making up lost time or using personal/vacation time.

In the event that the opening of UPSem at Richmond is delayed, that delay will normally be two hours, and the following academic schedule will be used:

Delayed opening class periods

Ordinary Start Time		Delayed Opening Class Time	
Period	Class	Period	Class
1	8:30 — 9:20	1	10:30 — 11:10
2	9:30 — 10:20	2	11:20 — 12:00
3	11:10 — 12:00	3	12:10 — 12:50
4	12:10 — 1:00	4	1:00 — 1:40
Lunch	1:10 - 2:00	Lunch	1:40 - 2:10
5	2:10 — 3:00	5	2:10 - 2:50

6	3:10 — 4:00	6	3:00 - 3:40
7	4:10 — 5:00	7	3:50 - 4:30
8	5:10 — 6:00	8	4:40 - 5:20

Wednesday Delayed Opening Class Periods

Ordinary Start Time		Delayed Opening Class Time	
Period	Class	Period	Class
1	8:30 — 9:20	1	10:30 — 11:20
2	9:30 — 10:20	2	11:30 — 12:20
3	10:30 — 11:20	3	12:30 — 1:20
4- Lunch	12:30 — 2:00	4- Lunch	1:30 — 2:00
5	2:10 -- 3:00	5	2:10 - 3:00
6	3:10 — 4:00	6	3:10 - 4:00
7	4:10 - 5:00	7	4:10 - 5:00
8	5:10 - 6:00	8	5:10 - 6:00

When on a delayed opening, there is no chapel or community time built into the schedule. Unless otherwise announced, evening courses scheduled for delayed-opening days will meet according to their regular schedule. In such cases, individual professors may choose to dismiss class early if weather conditions appear unfavorable.

Revised March 30, 2015

INCLUSIVE LANGUAGE—STATEMENT AND GUIDELINES

PREFACE

The following resolution was endorsed by the Union Seminary faculty May 26, 1980, and reaffirmed March 11, 1982. It was endorsed by the PSCE faculty December 12, 1996. The faculty recognizes "...the importance of using language in teaching, worship, administration, and personal relationships that is inclusive." The faculty committed itself "...to mutual encouragement of one another in developing a style of language in which all persons find themselves included." The following is intended as a further development of that resolution and applies to faculty, students, staff, and administration.

We believe that all persons are created in the image of God, and that, in Jesus Christ, persons are redeemed without regard to their earthly positions, stations, backgrounds, and merits. We believe further that our language ought intentionally and thoughtfully to reflect the inclusiveness of the good news of the gospel.

An important place that our corporate belief is expressed and modeled is in the gathering of all God's people for worship. In order to encourage all to participate in worship, language should reflect the corporate unity and the diversity of the people of God and the diverse ways the Bible and our Christian tradition speak about God.

In the past, the terms "man," "men," and "mankind" were understood to include both men and women, though these terms sometimes reflected assumptions about gender value and roles. In order to avoid perpetuating inappropriate assumptions, we need to exercise care in the language we use to speak about God's people.

Both the Bible and Christian tradition use a variety of terms and metaphors to refer to God (e.g., Spirit, Protector, Lord, Father, Redeemer). By inappropriately limiting our language to any one term or metaphor we may limit our understanding of God. For example, often we speak, and speak appropriately of "God the Father," but we ought not to speak of God only in this way. We need to exercise care in the language we use to speak about God.

GUIDELINES FOR USE OF INCLUSIVE LANGUAGE IN CHAPEL

Language about God

In keeping with the constitution of the Presbyterian Church (U.S.A.), Union Presbyterian Seminary supports the use of inclusive language and diverse biblical images in worship (W1.2006).

Language about people of God

Language in liturgy, hymns, or other music, and sermons, which excludes on the basis of sex, race, age, mental or physical ability, and socioeconomic status, is discouraged. When referring to God's people, the chapel leader should use words and phrases such as humanity, humankind, human beings, folk, friends, people, persons, men and women, brothers and sisters, sons and daughters, mothers and fathers, ancestors, descendants, etc., to reflect the diversity of the faithful community. The use of the word "man" or "men" (as well as other gender specific words) when referring to all of God's people is discouraged. Similarly, the use of words, phrases, and metaphors which are not sensitive to the diversity of God's people (for example, the simple equating of white with goodness and black with evil) is discouraged. Consistent with the leader's knowledge of biblical languages, when the intent of the Greek or Hebrew is inclusive of all God's people it is appropriate for the translation of scripture to reflect that. (For example, sons of Israel = Israelites, anthropoids = human beings, etc.) Sensitivity with respect to language about the people of God in scripture and creeds is the responsibility of the chapel leader.

In preparation for leading chapel, chapel leaders are encouraged to make use of resources available in a place determined by the committee that oversees services of worship (Chapel resources in the Kelly Reserve Reading Room in the Morton Library).

Representation of the concerns articulated in this document will be the responsibility of the faculty committee charged with the oversight of chapel.

GUIDELINES FOR THE COMMUNITY

The faculty (and students, staff, and administration) recognizes the importance of using language in teaching, worship, administration, and personal relationships that is inclusive. We commit ourselves to mutual encouragement of one another in developing a style of language in which all persons find themselves included.

Union Presbyterian Seminary, Charlotte

Institutional Protocol for Emergencies

BEFORE GUESTS ARRIVE

1. When an **outside** group reserves a room in our building, the dean's office will need to be supplied with a contact number and email address of the "group leader" who will be bringing the group to the seminary. In any emergency, the dean or his assistant, the Vice President of Advancement, and/or the librarian will communicate with the "group leader", who will then contact members of the group.
2. When an **individual** reserves a room in the building for study or conference, the dean's office will be the place where the reservation is made. The person making the reservation will leave his or her cell phone with the dean's assistant and will stipulate the number of hours to be reserved.
3. For **regular continuing education events**, where participants register on an individual basis, we are the host, sponsor, and group leader.
4. *If participants have not arrived*, and there is a storm or other event that causes a power outage, the dean, in conversation with members of the staff, will make the decision about whether the event should be cancelled, postponed, or moved. This includes snowstorms. While there may not be power outages, there may be other concerns that include the closing of the seminary campus.

If the decision centers upon what is more **comfortable** for guests, the dean in conversation with members of the staff, will make the decision.

ONCE PARTICIPANTS ARE HERE

1. And there is a **fire alarm**, the emergency notification system will alert members of our staff who are on the call list.
2. And there is a **power outage**, the dean or his assistant will be the first person called by our guest. He or she will assess the situation, respond as able, and contact the appropriate responders.

3. And there is a **plumbing, heating, cooling problem, or similar situation**, the dean should be the first person called. He or she would assess the situation, respond as able.
4. If there is a **non-weather related health and safety issue**—for example, a *West Nile Virus*—the dean will make a decision about whether the campus remains open or is closed. Our guests will follow that decision and vacate the building/campus accordingly.

We envision that as the dean notifies the campus of this, the group host will contact the leader.

5. If there is a **personal safety issue**—for example, someone is on our campus and threatens *violence* to the seminary—the dean or his assistant will make a decision about whether the campus remains open or is closed—or whether parts of the campus are closed, or advised to remain in their building. Campus guests will follow his decision and vacate (or stay in) the building/campus accordingly.

Ken McFayden, in consultation with Dennis Johnson, Keith Fauber,
Marilyn Johns, and Sheila Mullenax; Revised by TWC Sept. 21, 2012
Revised by TGJ December 03, 2013

Hosting a Person or Group in Thompson or Paisley?

Our Institutional Protocol for Emergencies

BEFORE GUESTS ARRIVE

1. When an **outside** group reserves rooms in Thompson or Paisley, the Leadership Institute (LI) needs to have two contact numbers and emails:
 - a. **The campus host, sponsor, or coordinator**: for example, someone in the Admissions Office. This is the person who would communicate with the group leader, as in “b” below.
 - b. **The group leader**—from the outside group. He or she will contact members of their group.
2. When an **individual** reserves a room in Thompson or Paisley, perhaps a family member of a student, LI will get and pass along to Physical Plant and Security and other recipients, the cell phone number of the person staying in our guest housing.
3. For **regular continuing education events**, where participants register on an individual basis, the LI serves as the host, sponsor, and group leader.
4. *If participants have not arrived*, and there is a storm or other event that causes a power outage, Dennis (Johnson), Mike (Cashwell), or someone on the Physical Plant side of things will make the decision about whether guests can move into a building if there is an issue of **safety** or the building is otherwise uninhabitable. If the building is deemed unsafe Dennis or Mike will contact the campus host—if she or he is not available, the group leader. Secondly, a voice message to Elizabeth (DiStanislao) so she is aware of this change.

This includes snowstorms, which are most likely to affect ECP students who are on campus in January. While there may not be power outages, there may be other concerns that include the closing of the seminary campus.

If the decision centers upon what is more **comfortable** for guests the LI staff, in consultation with the group host, Keith (Fauber), Dennis, and/or other Physical

Plant staff, will make the decision. Physical plant will then be notified of any changes.

ONCE PARTICIPANTS ARE HERE

1. And there is a **fire alarm**, the emergency notification system will alert members of our staff who are on the call list. This includes Keith, Marilyn (Johns), and Elizabeth.
2. And there is a **power outage**, the subintendent will be the first person called by our guest. The subintendent will assess the situation, respond as able, and contact Keith and/or external contractors to resolve the situation. As needed, he or she would contact Marilyn who will follow up with Elizabeth if guests need to be located to other guest housing.
3. And there is a **plumbing, heating, cooling problem, or similar situation**, the subintendent should be the first person called. He or she would assess the situation, respond as able, and contact Keith and/or external contractors to resolve the situation. As needed, he or she would contact Marilyn who will follow up with Elizabeth if guests need to be located to other guest housing.
4. If there is a **non-weather related health and safety issue**—for example, a *West Nile Virus*—Mike will make a decision about whether the campus remains open or is closed. Our guests will follow that decision and vacate the building/campus accordingly.

We envision that as Mike notifies the campus of this, the group host will contact the leader. For continuing education events, LI will do so.

5. If there is a **personal safety issue**—for example, someone is on our campus and threatens *violence* to the seminary—Mike will make a decision about whether the campus remains open or is closed—or whether parts of the campus are closed, or advised to remain in their building. Campus guests will follow his decision and vacate (or stay in) the building/campus accordingly. Mike will notify the campus of this, the group host will contact the leader. For continuing education events, LI will do so.

Ken McFayden, in consultation with Dennis Johnson, Keith Fauber, Marilyn Johns, and Sheila Mullenax; September 2012

Revised, January 2015 by Ken McFayden, in consultation with Marilyn Johns and Elizabeth DiStanislao

Union Presbyterian Seminary
STATEMENT OF
INVESTMENT OBJECTIVES, POLICIES AND GUIDELINES
Adopted: April 27, 2016

Introduction

The Board of Trustees (the “Board”) of Union Presbyterian Seminary (the “School”) is responsible through its Investment Committee for prudently managing the endowment funds of the federated Institution (the “Endowment”). This document presents the investment policies and procedures related to the Endowment Portfolio (“Portfolio”), including investment objective, asset allocation, investment restrictions, and review procedures (collectively, the “Policy”)

The Investment Objective for the Portfolio is to:

- **Preserve the portfolio’s purchasing power of the assets through asset growth in excess of the spending distribution plus the rate of inflation.**
- **Invest the assets in order to maximize long term return while assuming a risk level commensurate to that of other institutions with similar long term return objectives.**

Investment Responsibilities

The Board has delegated responsibility for the regular oversight of the management of the Endowment to the Investment Committee, a subcommittee of its Business and Finance Committee. It is the common objective of the Committee, the investment managers, and the consultant to make sound and prudent decisions concerning the assets of the Endowment. All parties are required to act as fiduciaries of the Endowment and the Portfolio and comply with the guidelines set forth in the Statement of Investment Policy.

The Investment Committee is responsible for:

1. Establishing an investment philosophy and setting policy guidelines and objectives. The policies are to be reviewed on at least a bi-annual basis by the Investment Committee and changes approved by the Business and Finance Committee.
2. Selecting and adhering to a long-term asset allocation for the Endowment.
3. Selecting qualified, independent investment managers.
4. Monitoring the appropriateness of each manager’s investment strategy and process given the Endowment’s overall investment objectives and guidelines.
5. Monitoring and evaluating the investment results and manager portfolios to ensure that objectives are being met.

6. Taking appropriate action if objectives are not being met by modifying asset allocation, withdrawing funds from managers, or reallocating funds among managers.
7. Selecting investment analysts and consultants to be used, as needed, to assist in carrying out the duties and responsibilities of the Committee. The Committee is charged with monitoring the performance of such investment analysts and consultants.
8. Communicating on the regular basis with the investment managers and investment consultant on duties and responsibilities.
9. Determining custodial responsibility for all securities.
10. Overseeing the Portfolio and reporting on the status of the Portfolio to the Business and Finance Committee. The Investment Committee is to provide the Business and Finance Committee with adequate information for items where Board action is required.

The Endowment Staff is responsible for:

1. Assisting the Committee with all components of this Policy.
2. Attending meetings with the Committee as needed.

All Managers are responsible for:

1. Acting in accordance with “prudent man” principles with respect to the management of the Endowment’s assets.
2. Immediately reporting, in writing, any violations of the guidelines and restrictions as set forth in this Policy.
3. Immediately reporting any findings against the firm or its principals, either by the SEC or any other regulatory authority. In addition, any lawsuits brought against the firm or its principals should also be immediately reported to the Investment Committee.
4. Immediately communicating all pertinent changes in the Manager’s firm to the Investment Committee. This includes, but is not limited to:
 - ◆ Changes in personnel involved in the Endowment’s relationship
 - ◆ Changes in ownership
 - ◆ Changes in senior investment professionals’ responsibilities
 - ◆ Changes in investment style or philosophy
5. Providing reports of the investment portfolio on a timely basis.

6. Adhering to the specific investment style and strategy for which the manager was selected.
7. Attending meetings with the Committee, Staff, and consultant as needed.

The Investment Consultant is responsible for:

1. Assisting in the development and review of the guidelines, policies, and objectives.
2. Monitoring this policy and recommending changes as needed.
3. Providing objective advice on all investment matters relating to the Portfolio.
4. Monitoring each investment manager's ownership structure and investment personnel and reporting all significant changes to the Investment Committee.
5. Monitoring each investment manager for adherence to this policy as well as to his or her stated investment style and, where necessary, help in the selection of new managers.
6. Providing necessary information and cooperating with the accounting staff in preparing reports and audits as and when required to do so.
7. Attending meetings with the Committee and Board as needed.
8. Preparing investment reports for the Committee's review that contain information necessary for the Committee to exercise its investment responsibilities.

Distribution Policy

The School is a permanent institution. As a result, it has adopted stable long-term policies that increase the likelihood of achieving the investment objectives listed in the Introduction to this document. These policies begin with the Endowment Spending Policy. In order to support the School with a predictable level of funding, a total return spending policy has been adopted.

The long-term objective of the School, the Endowment, and the Board is to limit distributions from the Endowment to no more than 5.0% of the Average Balance of the Endowment's assets. Average Balance shall mean the arithmetic average of the value of the Endowment's assets for each of the twenty calendar quarters immediately preceding the start of any fiscal year. The actual distribution from the Endowment shall be proposed by the School's Business & Finance Committee for approval by the Board as a part of the annual budget approval.

Deposits/Withdrawals/Transfers

The Staff, with the advice of the Investment Consultant, will determine how to allocate deposits to the managers in a manner that is consistent with the asset allocation policy. Further, the Staff, with the advice of the Consultant, is authorized to reallocate money among approved managers without need for further approvals, provided the resulting asset class and individual manager weights remain within the limits established by this policy's Strategic Asset Allocation. The investment of large deposits (greater than 5% of the total portfolio) will be brought to the attention of the Investment Committee.

Investment Philosophy

As a long-term investor, the following issues are significant factors in the prudent allocation of the Endowment:

- In order to achieve a rate of return that can support a reasonable level of annual spending while protecting the assets from inflation, the School must be willing to take some investment risk.
- The Committee believes the most effective way to establish an appropriate volatility level for the portfolio is through its asset allocation (i.e. stocks, bonds, alternative investments, and cash). Long term investment return and volatility depend on the portfolio's strategic asset allocation. In consultation with its Investment Consultant, a strategic asset allocation policy has been adopted which best balances the opportunity for achieving the investment return objectives as set forth in this policy with an appropriate volatility level.
- There is significant evidence that long-term investors do not benefit from attempting to earn returns through short-term asset class forecasts or market timing. As a result, the Endowment is invested according to a strategic long-term asset allocation. Over time, the portfolio will remain invested in percentages that are close to those called for in the strategic allocation.
- The Committee strongly believes in the long-term benefits of diversifying its portfolio among a number of different asset classes and investment strategies. While each asset class and strategy is carefully selected, the focus of the investment process is always on the overall portfolio.
- To achieve the long-term benefits of a widely diversified portfolio, the Committee has adopted strategic targets for each asset class that it utilizes. It expects that the portfolio weight for each asset class will remain within minimum and maximum percentages. The current strategic asset allocation including targets and acceptable ranges is outlined in Appendix A.
- Within each asset class, the Committee seeks to earn the most efficient rate of return possible (after investment expenses). Investments will be well diversified by investment style and strategy. Style/strategy diversification will increase the probability over three to five years time periods that the Endowment will achieve its investment goals and reduce

volatility. The Committee has adopted specific requirements and restrictions for each asset class. These are described in Appendix B.

Performance Objectives

In order to achieve the objectives stated in the Introduction to this policy, the Endowment's total portfolio must earn a rate of return that enhances the purchasing power of the Portfolio's principal value and spending distributions. Thus, the long-term objective for the Portfolio is to earn a return of at least the Consumer Price Index plus 5%. Given that this benchmark is not directly related to market performance, success or failure in achieving this goal should be evaluated over long-term.

In order to evaluate the performance of its managers over the shorter period of a market cycle or five years, the Committee has also adopted a market driven benchmark for each manager. For the Portfolio as a whole, the Total Portfolio Benchmark ("Benchmark") will consist of a suitable index for each asset class used. These indices will be weighted on a monthly basis according to the Endowment's strategic asset allocation targets listed in Appendix A. Appendix C defines the current Benchmark. The goal for the Endowment is to earn a rate of return on its total portfolio that meets or exceeds the Benchmark return over each five year time period, after investment management fees have been deducted. It is expected that each manager will perform in the top quartile of their respective peer universe over a five year time frame.

Administrative and Review Procedures

The Investment Committee will review this Policy at least bi-annually.

The Investment Committee will regularly review the performance of the Portfolio with the assistance of its Investment Consultant and the Staff. These reviews will include:

- Review of the Portfolio's overall asset allocation to ensure compliance with this document.
- Review of the assets held in each portfolio to ensure compliance with the Endowment's policies.
- Review of performance against the benchmarks set forth in this document.

Endowment Staff and the Investment Consultant will perform the above review at least monthly and report any deviations or concerns as soon as reasonably practicable to the Investment Committee Chairman.

Appendix A

Strategic Asset Allocation

The Endowment has adopted the following strategic asset allocation. All figures listed here refer to an asset class's percentage of the total portfolio. The minimum and maximum weights listed here represent the acceptable allocation ranges for each asset class. Actual asset allocation will be compared to these ranges at least on quarterly basis. In the event that the allocation to a particular asset class falls outside of acceptable range, the portfolio will be re-balanced so that all asset classes are within their permitted allocations.

In addition to the targets and ranges identified below, the following limitations shall apply to portfolio assets: 1) Illiquid assets (meaning those assets that cannot be converted into cash within one year or less) are limited to a maximum of 25% of the portfolio's total assets and 2) assets invested with any single manager are limited to no more than 14% of total portfolio assets, with the exception of Index Funds, for which no limits apply.

<u>ASSET CLASS TARGET AND RANGE PERCENTAGES</u>			
<u>Asset Class</u>	<u>Target</u>	<u>Minimum</u>	<u>Maximum</u>
U.S. Large/Mid Cap Equity	24%	19%	29%
U.S. Small Cap Equity	6%	3%	9%
International Equity	18%	15%	21%
Emerging Markets Equity	7%	4%	10%
Aggregate Fixed Income	5%	2%	8%
Global Fixed Income	5%	2%	8%
Floating Rate Debt	5%	2%	8%
Private Resources	5%	2%	8%
Private Equity and Private Distressed	5%	2%	8%
Multi-Strategy Hedge Funds	10%	7%	13%
Long/Short Equity Hedge Funds	10%	7%	13%
Cash and Cash Equivalents	0%	0%	5%

Appendix B

Asset Class Definitions/Guidelines

Domestic Equity

- 1) The domestic equity portfolio will be diversified according to economic sector, industry, number of holdings and other investment characteristics. However, it is recognized that any actively managed portfolio will not be as diversified as the market. To produce overall diversification, equity managers will be selected to employ different management strategies that together achieve the desired degree of diversification.
- 2) Domestic equity managers are permitted to hold up to 10% of their portfolio in American Depositary Receipts ("ADRs") or foreign domiciled companies whose equity securities are traded in US markets.
- 3) No more than 10% at cost or 20% at market of a manager's portfolio may be held in the securities of a single issuer.
- 4) Short selling of securities may not be used without the prior approval of the Endowment's Investments Committee. This restriction does not apply to hedged equity managers.
- 5) Derivative instruments such as financial futures and options may not be used without the prior approval of the Endowment's Investments Committee. This restriction does not apply to the hedged equity managers.
- 6) A manager may only deviate from these guidelines with advance permission of the Investment Committee.

International Equity

The following definitions may be used to distinguish between developed and emerging international securities.

International Developed Equity: Listed equity securities traded on developed non-U.S. markets. Developed markets are defined as those included in Morgan Stanley's EAFE index plus Canada.

Emerging Markets Equity: Listed equity securities traded on emerging non-U.S. markets. Emerging markets are defined as any market that is not included in Morgan Stanley's EAFE index plus Canada.

All restrictions listed above for Domestic Equity, other than item number two (ADRs), also applies to International Equity with the following additions and modifications.

- 1) Managers must hold securities in a minimum of three countries at all times.
- 2) Currency exposure may only be hedged back to the US dollar. The decision to hedge is left to the manager's discretion. Derivative instruments may be used to achieve currency hedging as permitted under this policy.

Fixed Income

- 1) The duration of a manager's portfolio should be within 80% and 120% of the duration of their market benchmark.
- 2) Managers are permitted to invest in the following classes of fixed income securities:
 - a) Bonds or notes issued by the U.S. Government or a U.S. Government Agency backed by the full faith and credit of the US Government
 - b) Mortgage-backed securities
 - c) Corporate bonds issued both in the U.S. and abroad
 - d) Asset-backed securities
- e) Non-U.S. sovereign debt
- 3) Aggregate bond managers are expected to maintain an average quality rating for their portfolio that does not fall below an S&P rating of AA-. High Yield bond and floating rate debt managers are expected to maintain an average quality rating for their portfolio that does not fall below an S&P rating of B-.
- 4) No more than 5% at market of a manager's portfolio may be held in the securities of a single corporate issuer. This restriction does not apply to securities issued by the U.S. Government or a U.S. Government Agency backed by the full faith and credit of the U.S. Government.
- 5) Derivative instruments may be utilized by a manager in order obtain more efficient exposure to a specific type of security. However, at no time, may derivative instruments be used to leverage the portfolio. In addition, it is expected that a manager will have thoroughly tested the behavior of the derivative instrument under a variety of market conditions before purchasing the security for the portfolio.
- 6) A manager may only deviate from these guidelines with advance permission of the Investment Committee.

Alternative Investments

In order to enhance portfolio results, the Investment Committee may elect to invest in alternative investment strategies such as: commodities, real estate, hedge funds, private equity, or timberland. These investments are made with the intention of raising portfolio returns and/or lowering total volatility. In most cases, these investments will be implemented via limited partnerships. Therefore, restrictions are established by the offering documents for each partnership.

Appendix C

Total Portfolio Benchmark


The Endowment's total portfolio benchmark is based on its strategic asset allocation using suitable market indices to represent each asset class. This custom index is calculated on a monthly basis using the weights listed below.

<u>Asset Class</u>	<u>Weight</u>	<u>Market Index</u>
US Large/Mid Cap Equity	24%	S&P 500
US Small Cap Equity	6%	Russell 2000
International Equity	18%	MSCI EAFE
Emerging Markets Equity	7%	MSCI Emerging Markets
Fixed Income	5%	Barclays Aggregate Bond
Global Fixed Income	5%	Citi World Government Bond
Floating Rate Debt	5%	CSFB Leveraged Loan
Private Resources	5%	Bloomberg Commodity
Private Equity and Private Distressed	5%	S&P 500 + 500 BPs
Multi-Strategy Hedge Funds	10%	HFRI Fund of Funds
Long/Short Equity Hedge Funds	10%	HFRI Fund of Funds

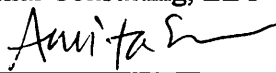
Managers within each asset class will be measured against a specific style benchmark along with the market benchmark for their asset class as indicated above.

Accepted and agreed this 29 day of April, 2016

Union Presbyterian Seminary

by: 
 title: VP

Colonial Consulting, LLC

by: 
 title: Managing Director

Intentionally Left Blank

**Union Presbyterian Seminary Library
at Charlotte
Collection Development Policy
2011**

I. Mission and Scope Responsibilities

A. Mission statement for the Library

The Union Presbyterian Seminary Library at Charlotte provides print, electronic and multimedia resources as well as library instruction to support the curricula and research needs of Union Presbyterian Seminary. Within the bounds of this curricular focus, the library also offers resources to church leaders, congregations and the general public for their study and growing understanding of Christian faith and practice.

B. Degree Programs Supported

Union Presbyterian Seminary at Charlotte offers the Master of Divinity (M.Div.) and the Master of Arts in Christian Education (M.A.C.E.).

C. Denominational Traditions Supported by Morton Library

Because Union Presbyterian Seminary is a Presbyterian institution, the Charlotte campus library seeks to maintain strong collection of resources relating to the Reformed and Presbyterian traditions. Beyond this particular focus, the Library strives to provide resources representative of the wide spectrum of beliefs, theological perspectives and traditions to be found in the Christian community, past and present.

II. BUILDING THE COLLECTION

A. Responsibility for Collection Development

Immediate oversight of the processes that build and maintain the Library's collection strength is the responsibility of the Director of the Charlotte campus library. In this work, the Director of the Charlotte

campus library is supervised by the Library Director of Morton Library in Richmond.

The Director of the Charlotte campus library derives knowledge of collection needs through interaction with patrons and study of the professional literature, book review sources and periodicals, publisher's catalogs and subject-area bibliographies. The Director also seeks recommendations and input from the Seminary's faculty and welcomes suggestions from students and the public. Throughout this work of collection development, the Director of the Charlotte campus library works closely with the Library Director of Morton Library in Richmond to coordinate the development of resources with the library collections on the Seminary's Richmond campus. This is particularly the case with regard to electronic resources made available via the web.

B. Types of Materials Collected

The Library at Charlotte collects and maintains the following kinds of materials:

- a. monographs (print and electronic)
- b. periodicals (journals, newspapers, reviews, annuals, newsletters) (print and electronic)
- c. series (monographic and irregular)
- d. microforms (in rare instances)
- e. computerized databases and electronic texts
- f. software for research and instruction
- g. curricula
- h. CD-ROMS and DVDs

The Library does not collect musical scores, originals of church records or audio-visuals.

All archival materials relating to Union Presbyterian Seminary are maintained in the archives in Morton Library in Richmond.

C. Selection Criteria

The identification and selection of new and gift materials to be added to the General Collection are determined by weighing several criteria listed below:

- a. whether an item is relevant for the Charlotte campus curriculum;
- b. the quality of the item in terms of its scholarship, creativity, lasting value, the reputation of the author and its contributors, and the publisher of the work;
- c. the item's cost;
- d. the format of the item;
- e. whether multiple or duplicate copies of an item are warranted because they are needed in both the Reference and the circulating collections, or the library staff anticipates strong demand from patrons due to the subject matter or their use on course reserves;
- f. whether an item is available elsewhere in one or more of the libraries with which the library on the Charlotte campus has a cooperative relationship; and/or
- g. the relation of the work to the documentary responsibilities of the library to collect and preserve the record of Christian life and thought in the Presbyterian traditions.

D. Language:

Union Presbyterian Seminary's Library in Charlotte collects almost exclusively in English language materials or translations. Materials may be purchased in other languages when they are determined to be necessary for research purposes.

III. Other Policy Considerations

A. Access

Current students and faculty of Union Presbyterian Seminary have full access to the library's collection within the bounds of the circulation policies described on the library's website. Only students and faculty of these seminaries may make interlibrary loan requests for materials at other libraries.

Alumni/ae of Union Presbyterian Seminary, students and faculty from other consortium institutions and Queens University, members of Sharon Presbyterian Church are permitted to use the resources of the library with limitations on the number of items that can be borrowed at any one time. Clergy of the Presbyterian Church (U.S.A.) and the United Methodist Church are provided borrowing privileges for a fee.

B. Gifts

The Director of the library on the Charlotte campus determines whether items given to the Library will be added in the collection. The Director may refuse a proposed gift if, in his judgment, it does not serve the needs of the collection. The Library only accepts unrestricted gifts (not loans) and reserves the right to exchange, sell, forward to other libraries or dispose of these materials. No appraisal of the value of gift items can be undertaken by the Library.

Because of Internal Revenue Service guidelines, the Library, as the recipient of a gift, cannot provide an appraisal of the gift's value. Arrangements for such appraisals must be made by the donor directly with an outside appraiser of the donor's choice. The library will acknowledge receipt of any unrestricted gifts but is not responsible for the choice of the appraiser, the quality of the appraiser's work or any complications with the IRS that may arise from an appraisal.

C. Weeding

Items in the collection that come to the attention of the library staff through their normal duties and contact with the collection will be weeded from the collection, if they meet the following criteria that inform all such decisions by library staff:

- a. Normally the library will hold no more than two copies of any item.
- b. Items in the circulating collection that have not been circulated in the last ten years will be seriously considered for deaccessioning. In such deliberations, however, it will be assumed that it is better to retain an item in the collection than to remove it.
- c. The value of an item's presence in the collection will be a function of how closely the item still fulfills the collection development criteria for selecting new materials for the collection outlined in section IV below.

WILLIAM SMITH MORTON LIBRARY

COLLECTION DEVELOPMENT POLICY

2011

I. Mission and Scope Responsibilities

A. Mission statement for the Library

The William Smith Morton Library provides print, electronic and multimedia resources as well as library instruction to support the curricula and research needs of Union Presbyterian Seminary and the Baptist Theological Seminary at Richmond (BTSR). Within the bounds of this curricular focus, the library also offers resources to church leaders, congregations and the general public for their study and growing understanding of Christian faith and practice.

B. Degree Programs Supported by Morton Library

Union Presbyterian Seminary offers the Master of Divinity (M.Div.), the Master of Arts in Christian Education (M.A.C.E.), a dual degree M.A.C.E./M.Div., and the Master of Theology (Th.M.). In addition, it offers the Doctor of Philosophy (Ph.D.) in the following areas:

Bible, with a concentration in Old Testament, including *at least* one required New Testament elective, and two required electives in cognate disciplines, History, Theology, Ethics, Liturgics; and

Historical and Theological Studies.

in Liturgics: Sacramental Theology and Practice in 20th and 21st centuries; Ritual Theory and Theology; American Homiletical Theory and Practice (18th-21st centuries).

in History: Genevan Reformation; Puritanism; History of Reformation in America to the Civil War.

in Theology and Ethics: Constructive Theology; Virtue Ethics in Anglo-American Protestantism 20th Century Forward; Ecological Ethics.

BTSR offers the Master of Divinity (M.Div.) and the Doctor of Ministry degree (D.Min.).

C. Denominational Traditions Supported by Morton Library

Because Union Presbyterian Seminary is a Presbyterian institution that supports advanced research degrees, the library maintains an extensive collection of documentary resources relating to the Reformed and Presbyterian traditions. BTSR is Baptist in origin. Union Presbyterian Seminary is authorized by the University Senate of the United Methodist Church to prepare United Methodist candidates for ordination. Consequently, the library collects resources in the Baptist and Methodist traditions that are appropriate for masters level preparation. Beyond these particular foci, the Library strives to provide resources representative of the wide spectrum of beliefs, theological perspectives and traditions to be found in the Christian community, past and present.

II. BUILDING THE COLLECTION

A. Responsibility for Collection Development

Oversight of the processes that build and maintain the Library's collection strength is the responsibility of the Library Director.

1. General, Special and Archival Collections: The Director is aided in selecting materials for these collections by the Public Services staff of the Library: the Reference Librarian, Director of the Instructional Resource Center, and the Librarian for Academic Computing Support. These staff members derive knowledge of collection needs through interaction with patrons and study of the professional literature, book review sources and periodicals, publisher's catalogs and subject-area bibliographies. The Director also seeks recommendations and input from the faculties of Union and BTSR and welcomes suggestions from students and the public. But the Library Director is ultimately responsible for maintaining the integrity and strength of these collections, and it is the Library Director who ultimately determines what will be selected.

2. Instructional Resource Center (IRC): As with the General Collection, patron suggestions for purchase are taken seriously, and the library staff seeks to fill those requests that fill a need in the total collection. Particular attention is paid to faculty requests for items that are intended for use in specific courses. But the IRC Director is ultimately responsible for maintaining the integrity and strength of the total media collection, and it is the IRC Director who ultimately determines what will be selected. With particularly expensive items, the IRC Director consults with the Library Director before purchases.

B. Types of Materials Collected

1. The General Collection collects and maintains the following kinds of materials:

- a. monographs (print and electronic)
- b. periodicals (journals, newspapers, reviews, annuals, newsletters) (print and electronic)
- c. series (monographic and irregular)
- d. microforms
- e. theses, project reports, dissertations
- f. pamphlets
- g. technical reports
- h. computerized databases and electronic texts
- i. software for research and instruction

The General Collection does not collect musical scores, originals of church records or audio-visuals.

2. The Instructional Resource Center collects and maintains the following kinds of materials:

- a. Curricula
 - i. all curricula from the Presbyterian Church (U.S.A.)
 - ii. representative samples of the curricula from major denominational families and independent publishers
- b. CD-ROMs and DVDs
- c. Maps
- d. Kits
- e. Games

The IRC maintains its current collection of videotapes and audiotapes, but it does not collect additional items for these collections.

The IRC does not collect banners, 16MM film, or phonograph records.

- 3. The Special Collections** collect and maintain the following kinds of materials under the Library Director's direction:
- a. Incunabula and rare books relating to the Presbyterian and Reformed traditions
 - b. Valuable and/or rarer publications published before 1830
 - c. Historic periodicals and serials related to the Southern Presbyterian tradition

- 4. The Archives** collects and maintains the following kinds of materials:
- a. Papers, records and publications of Union Presbyterian Seminary, the Presbyterian School of Christian Education and their predecessor institutions
 - b. The papers of former professors of Union Presbyterian Seminary and their predecessor institutions
 - c. Original and historic Presbyterian church documents deemed appropriate for the collection where space permits

Institutional records for BTSR are not collected.

C. Selection Criteria

1. General Collection: The identification and selection of new and gift materials to be added to the General Collection are determined by four primary criteria:

- a. whether an item falls within the scope of the collection as defined by this collection development policy;
- b. whether multiple or duplicate copies of an item are warranted because they are needed in both the Reference and the circulating collections, or the library staff anticipates strong demand from patrons due to the subject matter or their use on course reserves;

- c. whether an item is available elsewhere in one or more of the libraries of the Richmond Academic Library Consortium; and/or
- d. the relation of the work to the documentary responsibilities of the library to collect and preserve the record of Christian life and thought in the Presbyterian, Baptist and Methodist traditions.

2. The Instructional Resource Center: The identification and selection of new and gift materials to be added to the General Collection are determined by six primary criteria:

- a. The item provides the most current scholarship available on a given topic;
- b. The item offers outstanding production quality;
- c. The Seminary's technological capabilities support the item's media format;
- d. The item supports the master's level programs of our contributing schools;
- e. The item represents a significant curriculum offering for Christian education in the local church;
- f. The item does not duplicate holdings of the other members of the Richmond Area Film/Video Cooperative

3. The Special Collections: Historic works that enrich study in any of the areas in which the Library maintains a collection of research-level intensity will be added to the Rare Book collection, if their age and physical condition require the climate control and handling of the Archives area. Some works may be assigned to the Special Collections if very few copies are known to exist in library collections. While we receive rare items as gifts, we will also purchase them occasionally, if an item that would add significantly to the depth of our collection becomes available and the price of the item is appropriate.

4. Archives: Select institutional records and personal papers of retired or deceased faculty members are housed in the Archives: these include materials of an historical nature documenting important developments in the life of Union Presbyterian Seminary, deceased alumni files, estate records, accreditation documents, dissertations and theses submitted for graduate degrees, and official publications. Only those

documents that need to be maintained in perpetuity under rare-book conditions are added to the Archives.

D. Language: The Library collects in depth in English and to some extent in Western languages (especially German and French) in our Level 4 areas of collection intensity. Greek and Hebrew exegetical materials are collected (as well as languages that supplement biblical studies, such as Aramaic and Arabic). Classic and historic works are collected in their original languages (the works of John Calvin in Latin, for example) as well as in English translation. Some effort is made to support reading in world Christianity in various vernaculars (Korean, Spanish, etc). Periodicals in the above-mentioned languages are considered for inclusion based upon scholarly value and relevance.

III. Other Policy Considerations

A. Access

Current students and faculty of BTSR and Union Presbyterian Seminary have full access to the library's collection within the bounds of the circulation policies described on the library's website. Only students and faculty of these seminaries may make interlibrary loan requests for materials at other libraries.

Alumni/ae of BTSR and Union Presbyterian Seminary as well as students and faculty from other consortium institutions and the general public may be permitted to use the resources of the library as stipulated on the library's website.

B. Dissertations & Theses of Students and Publications of Faculty

The library maintains a collection of all doctoral dissertations and projects as well as Th.M. theses completed at Union Presbyterian Seminary and its predecessor institutions as well as the publications of all faculty during their tenure at Union Presbyterian Seminary. In addition, second copies of these items may be included in the library's circulating collection.

Purchases of dissertations and theses from universities and other seminaries are highly selective. Such purchasing decisions are made by the Library Director and based on whether the information that a particular dissertation or thesis contains relates to the overall instructional program of the school and is available in no other published form.

C. Gifts

The Library Director determines whether items given to the Library will be added in the collection, forwarded to the Charlotte campus of Union Presbyterian Seminary, shared with libraries elsewhere in the world or discarded. The Library Director may refuse a proposed gift if, in his judgment, it does not serve the needs of the collection. The Library only accepts unrestricted gifts (not loans) and reserves the right to exchange, sell, forward to other libraries or dispose of these materials. No appraisal of the value of gift items can be undertaken by the Library.

Because of Internal Revenue Service guidelines, the Library, as the recipient of a gift, cannot provide an appraisal of the gift's value. Arrangements for such appraisals must be made by the donor directly with an outside appraiser of the donor's choice. The library will acknowledge receipt of any unrestricted gifts but is not responsible for the choice of the appraiser, the quality of the appraiser's work or any complications with the IRS that may arise from an appraisal.

D. Newspapers

The library maintains several newspaper subscriptions, but it does not hold these materials for extended periods of time.

E. Reference Collection

The library seeks to provide a reference collection that is broader than the circulating collection in the sense that it offers bibliographic and reference materials in a wider range of subjects. The library recognizes the collection's defined scope and size creates the need for a reference collection that can help students and faculty locate the most appropriate resources for their study

whether or not those resources are immediately available in the library's circulating collection.

F. Maintenance of Collection

1. Binding

In order to stretch the library's budget, paperback copies of monographs are purchased whenever the difference between the price of a hardback copy is significantly greater than the cost of a paperback copy plus the cost of rebinding the paperback with a hardcover. All paperbacks are rebound to extend their eventual shelf life. In addition, the circulation desk staff monitors items when they are returned to the library in order to isolate titles that need rebinding.

All periodicals kept by the library beyond two years are bound except in selected cases where issues of periodicals are only retained for a limited period.

2. Preservation

Climate control throughout the building and closely monitored conditions in the Rare Book area help to preserve older library materials. Book repair is undertaken by the Technical Services department. Items damaged beyond repair may be replaced at the discretion of the Library Director. Manuscript materials are held in secure climate-controlled conditions and in appropriate acid-free protective housings. Rare books, historical documents and periodicals are often purchased in microform.

Cleaning of the books and bookstacks is under the supervision of the Circulation Supervisor, who is also concerned for the security of the building and the physical integrity of the collection.

3. Migration & Exercising of Non-Print Media

The migration of non-print visual and audio media items to newer formats is planned and carried out as needed under the direction of the Director of the Instructional Resource Center to ensure that current technology is employed and the content of older works remains available for use. Upgrades of electronic reference and other digital information are purchased as needed,

and media exercised on a regular basis to ensure the sound quality of media.

4. Weeding

Items in the collection that come to the attention of the library staff through their normal duties and contact with the collection will be weeded from the collection, if they meet the following criteria that inform all such decisions by library staff:

- a. Normally the library will hold no more than two copies of any item.
- b. Items in the circulating collection that have not been circulated in the last ten years will be seriously considered for deaccessioning. In such deliberations, however, it will be assumed that it is better to retain an item in the collection than to remove it.
- c. The value of an item's presence in the collection will be a function of how closely the item still fulfills the collection development criteria for selecting new materials for the collection outlined in section IV below.

IV. Collecting Levels

A. CONSPECTUS COLLECTION DEPTH DEFINITIONS

The following Conspectus Collection Depth Indicator Definitions were developed in 1996-97 by the Association of Research Libraries and WLN (Western Library Network).

The Conspectus measures those resources owned by a library or immediately accessible in electronic form. It does not include materials available through consortia or interlibrary loan; however, that availability may enter into collection development decisions.

COLLECTION DEPTH SCALE, 0-5

0 Out of Scope

The Library does not intentionally collect materials in any format for this subject.

1 Minimal Information Level

The Library's collection supports elementary inquiries about this subject.
It includes :

- A very limited selection of general materials, including monographs and reference works
- No periodicals or electronic information resources dealing expressly with this topic.

The collection should be frequently and systematically reviewed for currency of information. Superseded editions and titles containing outdated information should be withdrawn; classic or standard retrospective materials may be retained.

2 Basic Information Level

The collection serves to introduce and define the subject, to indicate the varieties of information available elsewhere, and to support the needs of general library users through the first two years of college instruction.
It includes :

- A limited selection of monographs, reference works and appropriate non-print media
- The most essential or representative periodicals
- Defined access to a set of local or remotely-accessed electronic bibliographic tools, indexes, databases, etc.

The collection should be frequently and systematically reviewed for currency of information. Superseded editions and titles containing outdated information should be withdrawn; classic or standard retrospective materials may be retained.

3 Study or Instructional Support Level

The collection provides information about this subject in a systematic and intentional way, supporting the needs of students enrolled in courses through college to a beginning graduate or professional level.
It includes :

- An extensive collection of general monographs and reference works, and selected specialized monographs and reference works
- Appropriate non-print media
- An extensive collection of general periodicals and a representative set of specialized periodicals
- Limited collections of relevant foreign language materials
- Extensive collections of the works of major authors and the significant works of lesser authors
- Defined access to a substantial collection of local or remotely-accessed electronic bibliographic tools, indexes, databases, etc.

The collection should be systematically reviewed for currency of information, and gaps in holdings should be diligently filled. All essential and important information should be retained, including a substantial amount of classic and retrospective material.

4 Research Level

The collection contains all of the major published source materials on a subject, and as many as possible of the highly-specialized works, sufficient to support doctoral dissertations and independent research.

It includes :

- A very extensive collection of general and specialized monographs and reference works
- All appropriate non-print media
- A very extensive collection of general and specialized periodicals
- Substantial foreign language materials
- Complete works by major authors and extensive collections of lesser authors
- Defined access to an extensive collection of local or remotely-accessed electronic bibliographic tools, indexes, databases, etc.
- Archival holdings of rare books or unpublished manuscript materials

Older materials in this subject area are systematically preserved to meet the needs of historical research.

5 Comprehensive Level

In a special collection, all of the materials produced by or about a certain person or institution or on a certain topic are collected, in all formats and all languages (for example, a William Blake Library devoted to works by and about that individual). It provides exhaustive coverage of a defined field.

"Defined access" to electronic media refers to menu options on the institution's web pages linking the user to local or remote electronic resources owned or accessed by subscription.

	SUBJECT AREA	Desired collection level
A General Reference		
AA-AE	Bibliography, general	1
AG	Bibliography, religion	3
AQ	Encyclopedias, general	1
AR	Encyclopedias of religion	
	Christianity-related	4
	World religions	3
AS	Biographical dictionaries and directories	
	General	1
	Biographical reference in religion	2
	Christianity-related	4
	World Religions	3
AX	Indexes to periodical literature	1
	Indexes in religion	3
	Christianity-related	4
	World Religions	3
B Languages and Literature		
BA-BB	Philology, epigraphy, paleography	
	Christianity-related	1
	Other	1
BE-BN	Semitic languages	1
BJ	Hebrew	3
	Hebrew lexicons	3
	Hebrew grammars	3
	New Hebrew	0
	Yiddish	0
BR	Greek	
	Hellenistic Greek lexicons	3
	Hellenistic Greek grammars	3
BP-BT	Other world languages	1
	Patristic, Medieval & Late Latin Literature	3
BU-BV	Literary arts	
	Christianity-related	2
BW-BY	Modern European literatures	
	Christianity-related	2
	Other	0
BZ	English and American literatures	
	Christianity-related	3
	Presbyterian authors	4
	Other	0

	SUBJECT AREA	Desired collection level
C Whole Bible (OT and NT together)		
CB	Texts and versions	3
	Hebrew texts	4
	Greek texts	4
	Syriac texts	2
	Aramaic texts	2
CD	Bible dictionaries, introductions & concordances	
	In English	3
	In German	3
	In other languages as needed for courses	1
CE	Canon	4
CF-CG	Biblical criticism	4
CH	Exegesis and commentaries (whole Bible)	4
CL-CN	Bible geography, travel & description	2
CP 10-46	Biblical archaeology	3
CP 81-90	Biblical antiquities	3
CQ-CR	Hebrew religious antiquities	3
	Medical antiquities, natural history	2
CT-CU	Biblical biography, history, chronology, genealogy	3
D Old Testament		
DA-DB	Collected works on the OT	4
DC-DD	Introductions	3
DE	Canon	4
DF	Text criticism	4
DG	Literary and historical criticism	4
DH	Exegesis and commentaries (whole OT)	4
DK	Pentateuch	4
DL	Historical books	4
DM	Poetical books, wisdom literature	4
DN	Prophets	4
DP-DQ	Minor prophets	4
DW	Biblical theology	4
DX	OT theology	4
DY	Biblical ethics	4
E OT Apocrypha and Judaism		
EA-EC	Study of Jewish literature	3
ED	OT Apocrypha and pseudepigrapha	3

	SUBJECT AREA	Desired collection level
EF-EH	Works by Jewish authors	1
EK-EP	Rabbinical and Talmudic literature	2
EQ	Jewish law (post-biblical)	1
ER-ES	Liturgy, ritual, worship	2
EX	Theology of Judaism (post-biblical)	3
	Pre-Talmudic theology	4
EY	Sectarian groups (incl. Essenes)	4
EZ	Judaism and other religions	
	Christianity	4
	Other	2
F New Testament		
FA-FB	Collected works on the NT	3+
FC-FD	Introductions	3
FE	Canon	3+
FF	Text criticism	3+
FG	Literary and historical criticism	3+
FH	Exegesis and commentaries (whole NT)	3+
FJ-FL	Gospels	3+
FM	Acts	3+
FN	Epistles generally; Pauline epistles	3+
FP-FQ	Other epistles	3+
FR	Revelation	3+
FS	Life of Christ and study thereof	3+
FT	NT history and biography	3+
FX	NT theology	3+
FY	NT ethics	3+
G Patristics, texts of classic Christian literature		
GA-GE	Collections of Christian Literature	
	In English translation	4
	Standard edition collections in original language	
	In Greek	3
	In Latin	3
GF-GC	History and criticism of early Christian literature	3
	Works by :	
GH	Apostolic fathers	
	In English translation	4
	In Greek	3
	In Latin	3

	SUBJECT AREA	Desired collection level
GK	NT Apocrypha and pseudepigrapha	3
GL	Syriac, Armenian, Coptic writers (in English)	2
GM	Post-apostolic Greek fathers	
	In English translation	3
	In other languages as needed for course work	1
GN	Post-apostolic Latin fathers	
	In English translation	3
	In other languages as needed for course work	1
GP-GQ	Medieval Latin theologians (in English)	
	In English translation	3
	In other languages as needed for course work	1
GS	Catholic theologians, 1450-1850	
	In English translation	3
	In other languages as needed for course work	1
GS 97	Pre-Lutheran Reformers	
	In English translation	3
	In other languages as needed for course work	1
GT	Luther and other German reformers	
	In English translation	4
	In other languages as needed for course work	2
GU	Calvin and Calvinists	
	Calvin	
	In English translation	4
	In French	4
	In other languages as needed for course work	2
	Calvinists	
	In English translation or originally in English	4
	In other languages as needed for course work	2
GV	Zwingli, other European reformers	
	In English translation	4
	In other languages as needed for course work	2
GW	Protestant post-Reformation theologians	
	In English translation	4
	In other languages as needed for course work	2
H General History		
HA	Collective biography	
	Christianity-related	3
	Other	1
HE	General world archaeology and antiquities	0
HF-HG	Travel and description, world geography	0
HH-HJ	Historiography, civilization, chronology	1
HK-HX	Ancient history (Assyria, Hittites, Philistines etc)	3

	SUBJECT AREA	Desired collection level
HP 10-40	Ancient Jewish history, incl. OT	4
HP 42-97	Jewish history after A.D. 70	2
HS	Egyptology	1
HT	Asia Minor - Ancient history	1
HW	Classical Greece	1
HX	Ancient Rome	1
HZ	Modern history (<i>see also L and M</i>)	1
	Christianity-related	3
	<i>For Medieval and Reformation history, see IM-IR</i>	
I Church History		
IA	Christian antiquities	3
IC	Church history as a discipline, General introductions	3
ID-IF	Sources & Church historians, early through modern	
	Before 1600	
	In English translation	3
	In other languages as needed for course work	2
	Reformed church historians	4
	Other traditions after 1600	3
	History of :	
IJ-IK	Ancient Christianity	3
IM-IN	Medieval church, Crusades, pre-Reformation	3
IP	Medieval dissent & Early Reform movements	4
IQ	Renaissance	3
IR	Reformation	4
	<i>For history of Protestantism, see KK</i>	
IS-IT	Post-Reformation to Date	4
IX	Monasticism and Catholic religious orders	3
IY	Persecution, martyrdom, Inquisition	3
J History of Christian Doctrine		
JA	Comprehensive histories of Christian thought	3
JC	Early church, incl. heresies	3
JE	Medieval doctrine	3
JF-JH	Reformation and post-Reformation thought	4
	<i>For history of Protestantism, see KK</i>	
JK	Creeds and confessions	4
JL-JP	Symbolics, heresies and sects, polemics	3
JR	Ecumenism, theologies of church union	3

	SUBJECT AREA	Desired collection level
K Denominational History		
KA-KE	Patriarchates, Eastern churches	2
KG	Greek Orthodox, Greek Catholic	2
KH-KJ	Roman Catholic Church	3
KK	Protestantism generally	3
KL-KZ	Individual Protestant denominations	3
	KN Reformed churches	4
	KP Presbyterians	4
	KX Baptists	3
	KY Methodists. Arminians	3
L History by Country (general and religious)		
LA-LZ	European states	1
	Reformation history	4
	History of Reformed churches in Europe	3
M History by Country, cont. (general and religious)		
MA-ML	United States of America	1
MD-MKZ	History of churches in the US	3
	ME Baptist	3
	MI-MJ Presbyterian and Reformed	4
	MH Methodist	3
ML	Local history by region and state	1
	ML 56.4 Virginia - Church history	3
	Presbyterian and Reformed	4
MM	Canada	1
MN	Mexico, West Indies, South America	1
	MN 40-47 Central America	1
MP-MW	Asia, Pacific, Australia	1
	MS Korea	3
MX-MZ	Africa	2
N Missions: theory and practice		
NB-NK	Conferences, societies, biographies	1
NL-NP	History	3
	NPP Presbyterian mission history	4
NR	Theology of missions, missiology	3
NS	Method and practice	3
O Comparative religion		

	SUBJECT AREA	Desired collection level
OA-OD48	World religions generally	3
OD50-OD93	Occutism and the Supernatural	0
	<i>For Judaism, see E or HP</i>	
OE-OG	Mythology and folklore	1
OJ-OU	Asian religions	2
OT	Islam	3
OW	Ancient Egyptian religion	3
OX	Classical Greek and Hellenistic religion	3
OY-OZ	Pre-Christian Europe, other	1
P Science		
PA-PE	General and physical sciences	0
PF-PJ	Biology (botany, zoology, etc)	0
	PG Evolution, biology of humankind	2
	<i>For medicine, see YX</i>	
PM	Anthropology	1
PP	Psychology	3
PR	Psychology of Religion	3
PV	Educational psychology	3
PW-PX	Pastoral psychology and counseling	3
PZ	Mathematics	0
Q Philosophy and Ethics		
QA-QD	History of philosophy	3
QE	Greek and Greco-Roman philosophy	3
QF	Medieval and scholastic	3
QG	Renaissance	3
	Reformation	4
QH	History of modern philosophy	3
QJ-QN	Modern philosophy, by country	0
QP-QX	Systematic philosophy, metaphysics, logic	3
QY	Ethics	3
QZ	Christian ethics	4
R Christian Theology		
RA-RB	Philosophy of religion	3
RC-RE	Generalia and introductions	3
RC62-RE	Apologetics	
	In English or English translation	4

	SUBJECT AREA	Desired collection level
	In German standard editions for major German theologians	4
	In French standard editions for major French theologians	4
	In Spanish standard editions for major Spanish theologians	3
RF	Science and theology	3
RK	Dogmatics, doctrinal theology	4
RN	Systematic theology	4
RP	Modernism and fundamentalism	3
RQ-RV	Theology by specific doctrine	4
RW-RX	Eschatology, apocalypics	4
S Social Science		
SA-SC	General and comprehensive works	1
SD	Marriage and family	3
	SD 80-89 Women	3
SE	Social and Economic History	1
SF	Modern Social Problems. Social Ethics (non-Christian)	3
SH	Social Christianity - Christianity and Social Reform	3
SI	Social Research, Method	3
SJ-SK	Social welfare work and charities	2
SL	Temperance movement; crime	2
SM	Race relations and religion	3
SP-SV	Economics	0
	Economics and religion	3
SX	Political science	0
	Political science and religion	3
SY	International relations	0
	International relations and religion	3
SZ	Law	0
	Law and religion	3
T Education		
TA	General and comprehensive works	1
TB	Religious education	3
TC	History of education	1
	TC6 United States	2
TD	State and education in the US	0
	TD4-6 Church and education	3
TE	General theory of education	3

	SUBJECT AREA	Desired collection level
TF	Religious and Moral Education, Character Education	3
TG	Teaching theory and method	3
TH	Educational Method adapted to Special Classes & Races	3
TJ	Family and home training of children	3
TL	Christian Church as Educator, Catechetics	3
TM	Sunday Schools. Church Schools. Christian Education	4
	Curricula. Baptist	3
	Curricula. Methodist	3
	Curricula. Presbyterian	3
TN	Teaching theory and method	3
	Christian Education related	3
TP	Family and home training of children	
	Religious training	3
	Other	0
TQ-TS	Christian education	3
	TR Protestant catechetics	3
	TS Protestant curriculum materials	
	TS 27, 60 Baptist	3
	TS 23, 30-50 Presbyterian	3
TU-TY	Colleges and universities; vocational training	
	Higher education and religion	3
	TX Theological education	3
	TX 70-89 Union Presbyterian Seminary	5
U Practical theology and Christian institutions		
UA	The Church - history of doctrine and structure	3
	UA 50 Ordination and ministry	3
UB	Church law (Catholic)	0
	UB50-UB54 Early Church Councils	3
UC	Protestant church law and polity	3
	UC 41-58 Presbyterian	4
	UC 70 Baptist	3
	UC 80 Methodist	3
UD-UE	Church and state	3
UF30-UF38	Christian Giving and Church finance	3
UG	Worship and sacraments	3
	Roman Catholic Sacramentalia and minor practices	1
	Saints; Sabbath	3
UH	Liturgical worship (doctrine and theory)	3
UJ-UU	Specific liturgies (as needed for course work)	3
	UR Official Presbyterian and Reformed Liturgies	4

	SUBJECT AREA	Desired collection level
UU	Prayer	
	Doctrine and theory of prayer	3
	Books of prayers	3
V Music		
VA-VF	History and theory	0
VG	Sacred/liturgical music, history and theory	2
VH-VJ	Collections of sacred music	2
VK-VR	Hymnals and hymnody	3
VS-VT	Religious poetry	3
VU-VZ	Collections of secular music	0
W Pastoral theology		
WA	Church administration	3
WB-WD	Evangelistic work and revivals	3
	WB Home missions	
	Baptist	3
	Methodist	3
	Presbyterian	4
WH-WO	Interdenominational work (YMCA, etc)	3
WP	Pastoral work and Christian ministry	3
WQ	Homiletics: history, theory, method of preaching	3
WT-WZ	Collections of sermons	3
	Presbyterian	4
X Christian life and spirituality		
XA-XT	Devotional literature; asceticism; piety	3
XW-XX	Practical ethics, conduct of life	3
XY	Recreation and recreational ministry	3
Y Art and applied science		
YE	History of art	0
YF	Christian art and symbolism	3
YG-YS	Painting, architecture, sculpture, crafts	0
	YK Church architecture	3
YT	Technology and applied science	0
	Religion-related 【?】	3
YX	Medicine and public health	0
	Ministry to the ill and their families	3
	<i>See also Pastoral Counseling PW-PX</i>	

Union Presbyterian Seminary

Movable Asset Control Policy

In order to identify and control movable assets that are the property of Union Presbyterian Seminary, the institution will use the following procedures:

Movable Assets

For purposes of this policy, movable assets are defined as assets that fall into one of five categories:

- Furniture & Furnishings
- Physical Plant Equipment
- Information Technology Equipment
- Media Services Equipment
- Artwork

Only those assets that have an estimated fair value in excess of \$200 are subject to this policy. Further, any asset that is permanently affixed to a building or other structure shall not be covered by this policy (e.g. Light fixtures.) Also, any asset that is anticipated to be consumed, depleted, or otherwise rendered worthless within one year shall not be subject to this policy (e.g. bulk gasoline purchase.)

Identification of Movable Assets

As soon as possible after the adoption of this policy, but no later than December 31, 2012, the Assistant Vice President of Operations shall cause to be created a complete list of all assets covered by this policy. It is anticipated that part-time student workers will be recruited to assist in this undertaking. Assets shall be inventoried based upon the following identifiers:

Campus

Building name

Room# (or room description)

Asset type

Color (or other unique identifier)

Asset tracking number (for Information Technology Equipment ONLY)

Updates

Information records regarding movable assets will be updated upon the purchase or disposal of any asset that is covered by this policy. Updating for purchases will be initiated in the Business Office. Updating for disposals will be initiated by the department making the disposal (typically either the Information Technology and Media Services Department or the Physical Plant department.)

In addition to the updates described above, on at least a bi-annual basis, the Assistant Vice President of Operations will cause to be undertaken a complete inventory of all assets covered by this policy.

Discrepancies

If at any time during a physical inventory of assets covered by this policy, any material discrepancy is identified between recorded assets and actual assets, such discrepancy shall be reported to the Vice President of Finance and Administration for appropriate action.

Support

The inventory and data management support needed to implement this policy will be provided by making a modest investment (less than \$2500.00) in an appropriate movable asset management system. Current best thinking is that the school will invest in MobileAsset by WASP Technology.

Non-Degree Seeking/Limited Enrollment Admissions
Admissions Committee
Revised September 30, 2015 .

An applicant who is admitted as a non-degree seeking or limited enrollment student may take courses at Union Presbyterian Seminary under certain conditions. These conditions will include but are not limited to the following:

- a. A limited enrollment student is not enrolled in a degree program;
- b. The academic dean serves as faculty advisor to all limited enrollment students on their respective campuses;
- c. A limited enrollment student is admitted for non-degree studies for a maximum of one academic year, which, with the permission of the appropriate dean, may be extended for a second, concurrent academic year;
- d. A limited enrollment student may take no more than 12 credit hours (usually four courses) unless the student is seeking Educator Certification with the Presbyterian Church (USA) in which case the student is limited to the hours required to complete certification;
- e. A limited enrollment student is eligible to apply for enrollment in a degree program but one's status as a non-degree seeking student does not insure admission to a degree program. The application of a limited enrollment student for admission to a degree program will come for decision before the Admissions Committee, and must include at least one letter of recommendation from a Union Presbyterian Seminary professor with whom the student has taken a course and submission of all grades earned at Union Presbyterian Seminary as a non-degree student, as well as all other admission materials requested for the degree program to which the student is applying;
- f. Courses taken by a non-degree student will be considered for transfer into a degree program if the student is admitted to a degree program;
- g. Limited enrollment students may not audit courses or enroll in doctoral seminars; they may not enroll in CPE, Field Education, travel seminars, or directed studies;
- h. Limited enrollment students may not serve on student and faculty committees or hold student office;
- i. A non-degree student is ineligible for financial aid as well as student and academic awards and recognitions.

Intentionally Left Blank

PET PROCEDURE

Union Presbyterian Seminary prohibits pets (other than small fish contained in enclosed aquariums) in all campus buildings except as allowed under the terms of this policy. Service animals are exempted from this general prohibition.

Certain Pets will be allowed in, and may be domiciled in the Melrose and certain Advance apartment buildings on the Union Presbyterian Seminary campus, subject to the conditions set forth below:

- For purposes of this policy “Pets” shall mean only dogs or cats weighing no more than 35 pounds and which are domiciled in Melrose and certain Advance apartments.
- All Pets allowed on Union Presbyterian Seminary property under the terms of this policy are the frill and exclusive responsibility of their owner, who must be a resident of Melrose and certain Advance apartments. Pet owners are expected to exercise responsible control over their Pets and should at all times be aware of the impact the Pet(s) may have on other residents, staff, students and visitors to Union Presbyterian Seminary.
- No more than two Pets may be domiciled in any apartment
- When outside of Melrose or certain Advance apartments on Union Presbyterian Seminary property, all Pets must be on a leash.
- Pet owners are required to comply with all Richmond City codes and ordinances regarding their Pets. This includes ordinances relating to licensing, vaccinating, and picking up pet waste.
- Before a Pet may be domiciled in Melrose or certain Advance apartments as provided in this policy, the Pet Owner must obtain, sign and file a copy of this Pet Policy with the student housing office and pay a one-time \$250.00 non-refundable Pet fee. Monthly rental rates for apartments where pets are domiciled will be increased by \$10.00/pet above the normal rate.
- Pet owners are responsible (both financially and otherwise) for any and all damage to Union Presbyterian Seminary property caused by the Pet.
- Any questions, comments, concerns or issues of interpretation of this policy and/ or its enforcement or modification must be submitted in writing to the Pet Policy subcommittee of the Student Government Association for resolution. This committee shall consult with the schools Housing Coordinator, AVP of Operations and Student Life Office in making any recommendation or decision. All decisions of the Pet Policy Sub-Committee are subject to, and effective only upon, the concurrence of the Vice-President of Administration for Union Presbyterian Seminary.

If for any reason whatsoever a Pet Owner ceases to be a resident of Melrose or certain Advance apartments (including, but not limited to, any decision by the Union Presbyterian Seminary administration to vacate some or all of the apartments in the Melrose or certain Advance apartment buildings for reasons of health, safety, expense or otherwise) the authorization under this policy for the Pet owner to domicile a Pet on campus shall terminate. Such terminations shall be effective on the date on which the Pet owner vacates Melrose or certain Advance apartments.

Intentionally Left Blank

PLAGIARISM POLICY

Definition

At Union Presbyterian Seminary; plagiarism will be defined as the use of someone else's ideas or words without attribution in a graded event. A student who is unsure about this standard should speak directly with the professor(s) at the beginning of the course.

A grading professor who is concerned that plagiarism may have occurred will:

Process for first occurrence:

- 1) Consult a department colleague without divulging any personally identifiable information;
- 2) If the concern remains after this consultation, the grading professor will take the concern to the student;
- 3) If plagiarism, after this consultation with a department colleague and subsequent consultation with the student, is believed by the grading professor to have occurred, the consequences will be determined in consultation with the associate dean in Richmond and the dean in Charlotte;
- 4) Appeals may be made to the dean in Richmond.

The Process for second or third occurrence of plagiarism is identical to that noted above, except that the consequences will vary, as outlined below.

Consequences:

Ordinarily, for a first occurrence, a zero will be the grade for the assignment in question or the student may be given an opportunity to rewrite the assignment and the two grades will be averaged together;

For a second occurrence in the same course, the student will fail the course;

For a third occurrence while in seminary, the student will face expulsion by 2/3 vote of the faculty.

Documentation: Supporting documentation for resolution of cases of plagiarism will be retained in the office of the associate dean of Richmond and the dean of Charlotte. All other persons who believe plagiarism has occurred should report the matter to the grading professor(s) or to the appropriate academic dean

Intentionally Left Blank

GENERAL REFUND POLICY

Withdrawal and Dismissal

A student who does not complete the term for which he or she has been charged, either by voluntary withdrawal or dismissal, may be entitled to a refund depending upon the timing of his or her date of separation from Union Presbyterian Seminary. A student must submit to the associate dean for academic programs, or for Charlotte students, the dean of Union Presbyterian Seminary; Charlotte Campus, a letter of request for permission to withdraw. The student's separation date is the later of the date of the letter of request for withdrawal or a date mentioned in the letter of request. A student who has been dismissed from Union Presbyterian Seminary will be considered to have been separated from Union Presbyterian Seminary as of the date of the action of dismissal.

Leave of Absence

For federal aid, the definition of an approved leave of absence is leave that has been requested in writing to the associate dean for academic programs, or for Charlotte students, the dean of Union Presbyterian Seminary, Charlotte Campus. The seminary will not charge tuition and fees, other than rent, if applicable, for a student during an approved leave of absence. A student who receives no federal aid may be granted an approved leave of absence up to one calendar year by the associate dean for academic programs; or for Charlotte students, the dean of Union Presbyterian Seminary, Charlotte Campus. Approval of a one-year leave of absence by the seminary does not supersede the IBO-day federal limit. Students with federal loans should be aware that their loans may go into repayment during a one-year leave of absence. More information is available from the director of financial aid. A student who takes an unapproved leave of absence or who does not return to Union Presbyterian Seminary after an approved leave of absence is considered to have withdrawn as of the end of his or her last term of enrollment.

Refund of Fees No portion of any fee (application for admission, supervised ministry, student activity, etc.) is refunded.

Refund Allocations

Any federal aid recipient who withdraws, whether or not he or she received permission from the associate dean for academic programs (or for Charlotte students, the dean of Union Presbyterian Seminary, Charlotte Campus) to withdraw, will have federal funds returned according to federal regulations.

REFUND OF TUITION

The following guidelines are used to determine institutional tuition refunds for students not receiving federal aid. These guidelines apply when a student notifies the registrar that she or he is dropping a course or courses. They also apply when a student withdraws from the school with permission.

Basic Degree Students

- Basic degree students who drop a course or switch to audit status by the drop/add deadline will receive a full refund of the tuition for that course. Students who withdraw from a course or switch to audit status after the drop/add deadline, but prior to the end of one-half of the term (as noted above), will receive a 50 percent refund of the tuition for that course.
- The refund policy may differ with supervised ministry courses.
- No other refunds are available.
- If a student drops a course, the amount of financial aid given for that course will be administered according to the following process:
 - a) For a student who drops the course before the drop/add deadline, a merit grant will be deducted from their student account and may be used later when or if the course is repeated.
 - b) If the course is dropped after the d/a deadline, the merit grant is not reversed from the student's account. No new grant aid will be credited to cover the course when or if it is repeated.
 - c) For a student with tuition-based aid who drops a course after the d/a deadline, the financial aid for that course is not reversed from the student's account. No new aid will be credited to cover the course when or if it is repeated.

Advanced Degree Students

- Advance degree students who withdraw from the degree program or who start a leave of absence before the drop/add deadline will receive a full refund of the tuition or continuation fee for the current half year.
- Advanced degree students who withdraw from the degree program or who start a leave of absence after the d/a deadline but prior to the 50% mark will receive a 50% refund of the tuition or continuation fee for the current term.
- Advanced degree students who withdraw from the degree program or who start a leave of absence after the 50% mark has passed will receive no refund of tuition.
- If a student withdraws or starts a leave of absence at any time prior to the d/a deadline, any institutional financial aid given for that term will be removed from the student's account.
- No other refunds are available.

Seminary Automobile Policy (Revised January 2015)

- Union Presbyterian Seminary provides and maintains an automobile to be used for the promotion of the Seminary with external constituencies.
- If the Seminary car is available, it should be used rather than renting another vehicle. If it is not available, authorized staff may rent a car. At their own discretion, staff may use their personal automobiles, which will be reimbursed at the current allowable rate. *Use of personal automobiles is not covered by Seminary insurance policies.* Policies related to business use of vehicles other than the Seminary car are detailed in the "Car Insurance Policy" shown on the following page.
- Requests for use of the car will be made by the one needing the automobile or his/her assistant, to the Admissions Assistant or to whoever is designated by him/her in their absence. Currently this is the Admission Director. **This request must be in writing (email is sufficient.)** In limited cases, a student can borrow the Seminary car for Seminary activities if it is approved by one of the departments listed below.
- While requests are taken on a first come, first serve basis, if more than one person requests the car on the same date, priority is as follows:
 1. Transportation requests from the President or trustees
 2. Admissions office
 3. The Development field staff person traveling for the greatest number of consecutive days.
 4. Communications office
 5. Faculty or other Administrators
- If requested dates are tentative, please let the Admissions Assistant know. Requests for use by someone with firm dates will have priority over requests for tentative dates.
- If the car is reserved and travel dates change, let the Admissions Assistant know of this change immediately!
- Although the Admissions Assistant keeps the staff travel-planning calendar for several months out, the car will not be booked based on those plans. Requests for each trip should be made to her/him when the trip is more firmly set.
- All drivers must hold current, valid driver's licenses. A copy of the valid driver's license should be given to the Admissions Assistant.
- The Admissions Assistant will keep two sets of keys for the Seminary automobile.
- Keys should be collected and returned to the Admissions Assistant in person and not sent through campus mail. They should return the keys immediately to the Admissions Assistant upon return to campus or on the morning of the following business day.
- Prior to leaving campus, the person using the car must send an email to Campus Security(security@upsem.edu) informing them of the dates the car will be off campus. Should a personal car be remaining on campus while the Seminary car is being used, this email must include the make and license of the personal car remaining on campus, and in which parking lot it will be parked.

- The car should always be returned with a *full* tank of gas in it. If the car has gotten particularly dirty during the trip, it also should be washed/cleaned. Gas and car washes should get charged to the cost center that was borrowing the Seminary car. All personal belongings, trash, cups, books, newspapers, tissues, food, etc. should be removed from the car when it is returned to campus. Any maps and hotel guides already in the car should be left with the vehicle when it is returned.
- The Admissions Assistant will keep a record of maintenance on the car and will request one or more of the frequent users to take it in for oil changes or other maintenance.
- Any irregularities in the operation of the car should be reported immediately to the Admissions Assistant or the Assistant Vice President for Operations. If neither of them is available, problems should be reported to the VP of Finance & Administration.

CAR INSURANCE POLICY

There have been questions and concerns surrounding UPSem's insurance policy coverage in case of an accident when driving a rental or personal car. Please be aware of the following:

- **Renting a car:** A UPSem credit card must be used when renting a vehicle. When selecting a rental car company, one should consider available corporate discounts. (Currently one may receive up to 30% through Budget Car Rental for both business and personal use. Reservation must be made through Budget.com and using our BCD number U401190.)
- **Insurance Information:** Please be sure to carry the insurance information with you when traveling. A copy of the insurance card has been placed in the glove box.
- **Rental car delivered to campus:** Any employee with UPSem may accept and drive any rental car as long as they are doing so with the permission (verbal or written) of the Seminary. Therefore, if a car has been delivered but the person renting, it is not available at that time, another employee may sign for the car in their place.
- **Use of a rental car outside Virginia:** The current Seminary insurance policy will apply to any vehicle hired, leased, or rented within the United States. The Hanover American Insurance is approved to write automobile coverage in all 50 states.
- **Use of a personal car when on Seminary business:** The Seminary insurance policy does NOT cover personally owned vehicles. Each employee's own Personal Automobile policy will cover his or her own vehicle. This is standard in the industry. The personal automobile policy "follows" the vehicle, not the driver in Virginia.
Note: The Seminary's non-owned auto coverage will apply excess over any employee's personal auto policy if an accident occurs while performing duties for the Seminary.
- **Identifying that an employee is traveling on Seminary business in a personal car.** Nothing is needed in writing ahead of time. However, your carrier will want to know what you were doing at the time of an accident. For example, if you are on your way to see a donor for a scheduled business meeting then it should be clear that you are working on Seminary time. If, however, a group of employees decide to go out for lunch together and "discuss business" at lunch, it will be more difficult to see this accident as occurring on Seminary time.

Insurance Information in event of an accident:

B B & T Company

Insured: Union Presbyterian Seminary
3401 Brook Road
Richmond, VA23227

Carrier: Hanover American Insurance Co.

Policy#: ABR-9232915

Policy Term: Annually from August 3 through August 2nd of following year

Agent: Richmond Division

Claim Reporting #:Toll Free (800) 990-4228

Liability Coverage applies to any auto

Intentionally Left Blank

UNION PRESBYTERIAN SEMINARY

SEXUAL MISCONDUCT POLICY

TABLE OF CONTENTS

ARTICLE I. INTRODUCTION	1
Section 1.01 Overview of This Policy	1
Section 1.02 Prohibition Against Sexual Misconduct	1
Section 1.03 Scope and Applicability of This Policy	2
Section 1.04 Definitions Applicable to This Policy	2
ARTICLE II. REPORTING POLICIES AND PROTOCOLS	3
Section 2.01 Reporting to Local Law Enforcement	3
Section 2.02 Reporting to the Seminary Mandatory Reporters	3
ARTICLE III. CONFIDENTIALITY	6
Section 3.01 Confidentiality in Reporting and Disclosure	6
Section 3.02 Confidentiality in the Investigation and Resolution Processes	6
ARTICLE IV. GENERAL PROVISIONS APPLICABLE TO ALL ALLEGATIONS OF SEXUAL MISCONDUCT	9
Section 4.01 Oversight	9
Section 4.02 Conflicts	9
Section 4.03 Support Persons / Advisors	9
Section 4.04 Timing	9
Section 4.05 Documentation	10
Section 4.06 Prohibition on Retaliation	10
Section 4.07 Prohibition on Providing False Information	10
Section 4.08 Related Misconduct	10
Section 4.09 Limited Immunity for Alcohol Use	10
Section 4.10 Disability Accommodations	10
Section 4.11 Confidentiality and Disclosure	10
ARTICLE V. THE PROCESS APPLICABLE TO ALL COMPLAINTS OF SEXUAL MISCONDUCT	12
Section 5.01 STEP 1: A Report of Sexual Misconduct Becomes a Complaint	12
Section 5.02 STEP 2: Evaluation of Interim Protective Measures and Interim Disciplinary Sanctions	12
Section 5.03 STEP 3: Initial Meetings with the Assigned Title IX Coordinator	13
Section 5.04 STEP 4: The Investigation	14
Section 5.05 STEP 5: The Evaluation of the Investigative Report and Determination as to Whether the Complaint Will Proceed to Adjudication	15
ARTICLE VI. FORMAL ADJUDICATION PROCEDURES	16
Section 6.01 Respondent's Acknowledgement of Responsibility	16
Section 6.02 The Adjudication Process (the Interviews and the Determination of Responsibility)	16

ARTICLE VII. INFORMAL RESOLUTION.....	22
Section 7.01 General Procedures and Policies.	22
Section 7.02 The Informal Resolution Process.	22
ARTICLE VIII. APPEALS.....	24
Section 8.01 Appealing the Closure of a Complaint Prior to Adjudication.	24
Section 8.02 Appealing the Results of Adjudication.	24
EXHIBIT A. SUGGESTED ACTIONS FOR VICTIMS OF SEXUAL ASSAULT	A-1
EXHIBIT B. DEFINITIONS	B-1
EXHIBIT C. SEXUAL MISCONDUCT COMPLAINT FORM.....	C-1

UNION PRESBYTERIAN SEMINARY

SEXUAL MISCONDUCT POLICY

IF YOU OR SOMEONE YOU KNOW MAY HAVE BEEN A VICTIM OF SEXUAL ASSAULT OR ANY OTHER TYPE OF SEXUAL MISCONDUCT PROHIBITED UNDER THIS POLICY, YOU ARE STRONGLY ENCOURAGED TO SEEK IMMEDIATE ASSISTANCE FROM ONE OR MORE OF THE SOURCES IN EXHIBIT A OF THIS POLICY.

**THE SEMINARY CAMPUS POLICE DEPARTMENT IS LOCATED IN
W.S. MORTON LIBRARY, ROOM 102, AT 3406 CHAMBERLAYNE AVENUE
AND IS AVAILABLE BY PHONE AT 804-278-HELP.
SEMINARY POLICE OFFICERS ARE AVAILABLE
FROM 5:00 P.M. UNTIL 5:00 A.M., SEVEN DAYS A WEEK.**

ARTICLE I. INTRODUCTION

Section 1.01 Overview of This Policy

The Seminary regards a supportive community and a high quality of life as essential to its character as an educational institution preparing men and women for service in the Christian church. In keeping with that character, the Seminary provides and is committed to maintaining programs, activities, and an educational and work environment founded on civility and respect, where no one is unlawfully excluded from participation in, denied the benefits of, or subjected to discrimination in any Seminary program or activity on the basis of gender, sex, sexual orientation, sexual identity, gender identity, or gender expression ("sex discrimination"). Sex discrimination is antithetical to the Christian vision that informs the purpose of the Seminary and is incompatible with the Church's moral standards for its members and professional leaders.

Section 1.02 Prohibition Against Sexual Misconduct.

Sexual Misconduct, as defined by this Sexual Misconduct Policy (this "Policy") and which includes gender-based and sexual harassment and sexual violence, is a form of sex discrimination that may deny or limit an individual's ability to participate in or benefit from Seminary programs or activities. Sexual Misconduct is inconsistent with the values and standards of the Seminary community, is incompatible with the safe, healthy environment that the Seminary community expects and deserves, and will not be tolerated. Sexual Misconduct and Retaliation, as defined in this Policy, are prohibited. Violations of this Policy may result in the imposition of sanctions up to and including termination, dismissal, or expulsion.

It is the policy of the Seminary to provide educational, preventive, and training programs regarding Sexual Misconduct; to encourage reporting of incidents of Sexual Misconduct; to take appropriate action to prevent incidents of Sexual Misconduct from denying or limiting an individual's ability to participate in or benefit from the Seminary's programs; to make available timely services for those who have been affected by Sexual Misconduct; and to provide prompt and equitable methods of investigation and resolution to stop discrimination, remedy any harm, and prevent its recurrence.

The Seminary is committed to fostering a community that promotes timely and fair resolution of Sexual Misconduct cases. To that end, the Seminary has defined Sexual Misconduct broadly to include any unwelcome conduct of a sexual nature, and *the Seminary will investigate all allegations of Sexual Misconduct*.

However, not all unwelcome conduct of a sexual nature rises to the level of warranting adjudication and/or discipline pursuant to this Policy. Although the Seminary will investigate all allegations of Sexual Misconduct, this Policy uses the term “Material Sexual Misconduct,” as defined in Exhibit B, to identify those acts of Sexual Misconduct that do warrant adjudication under, and discipline pursuant to, this Policy.

Section 1.03 Scope and Applicability of This Policy.

- (a) **Jurisdiction (the people, places, and types of conduct covered by this Policy).** This Policy applies to any allegation of Sexual Misconduct made by or against a student or an employee of the Seminary or a third party, regardless of the sex, sexual orientation, sexual identity, gender, gender expression, or gender identity of any party and:

- (i) On Seminary property, or
- (ii) Off Seminary property, if the conduct giving rise to the allegation is related to the Seminary’s academic, educational, or extracurricular programs or activities.

Please note that, while the Seminary will investigate and address allegations by and against individuals who are neither students nor employees of the Seminary, third-party Complainants and Respondents may not be afforded the same procedural rights under this Policy as employees and students, and the Seminary may have limited jurisdiction over third-party Respondents.

IN THE CASE OF ALLEGATIONS OF SEXUAL MISCONDUCT, UNLESS OTHERWISE STATED, THIS POLICY SUPERSEDES AND APPLIES IN LIEU OF ALL OTHER PROCEDURES AND POLICIES REGARDING, AND REFERENCES TO, SEXUAL MISCONDUCT SET FORTH IN ANY OTHER DOCUMENT CONTAINING SEMINARY POLICIES AND/OR PROCEDURES.

- (b) **Period of Limitations on Reporting Sexual Misconduct.** Sexual Misconduct may be reported at any time, regardless of the length of time between the alleged Sexual Misconduct and the making of the report. However, the Seminary strongly encourages individuals to report Sexual Misconduct promptly in order to preserve evidence for a potential legal or disciplinary proceeding. A delay in filing a Complaint may compromise the subsequent investigation, particularly if neither the alleged victim nor the Respondent is employed by the Seminary or enrolled as a student at the time.

Section 1.04 Definitions Applicable to This Policy.

Capitalized terms used in this Policy have the meanings given to them in Exhibit B.

[This policy continues on the next page.]

ARTICLE II. REPORTING POLICIES AND PROTOCOLS¹

How and Where to Report Sexual Misconduct

For information regarding seeking medical assistance, as well as important contact information for local law enforcement agencies and medical providers, see [Exhibit A](#) attached to this Policy.

Because Sexual Misconduct may in some instances constitute both a violation of Seminary policy and criminal activity, and because the Seminary grievance process is not a substitute for instituting legal action, the Seminary encourages individuals to report alleged Sexual Misconduct promptly to campus officials and to law enforcement authorities, where appropriate.

Individuals have the option not to report alleged Sexual Misconduct to campus officials or to law enforcement authorities. The Seminary respects the individual's decision in regards to reporting; however, subject to the Confidentiality provisions outlined in Article III of this Policy, if information about Sexual Misconduct comes to the attention of the Seminary, the Seminary (1) will start an investigation even in the absence of a filed Complaint and/or (2) may notify appropriate law enforcement authorities if required or warranted by the nature of the information of which it becomes aware.

Section 2.01 Reporting to Local Law Enforcement.²

Individuals may file a criminal complaint directly with local law enforcement agencies by dialing 911.

Individuals also may contact the Seminary's Title IX Coordinator for assistance in filing a complaint with local law enforcement. See [Exhibit A](#) for the Title IX Coordinator's contact information.

Individuals who make a criminal complaint may also choose to pursue a Seminary Complaint simultaneously. Neither the results of a criminal investigation nor the decision of law enforcement to investigate or decline to investigate the matter is determinative of whether Material Sexual Misconduct, for the purposes of this Policy, has occurred.

Section 2.02 Reporting to the Seminary | Mandatory Reporters.

If you wish for information regarding Sexual Misconduct to be investigated and addressed pursuant to this Policy, you should disclose such information to one of the individuals listed below (the Title IX Coordinator or a Responsible Employee). **Please note that Responsible Employees are REQUIRED to relay allegations of Sexual Misconduct to the Title IX Coordinator for investigation and resolution.** Individuals who are not listed below are not subject to the same requirement (and in some instances, such as is generally the case

¹ Note that individuals have an obligation under Virginia law to report certain abuse (known or suspected) of children to Commonwealth authorities. Please be aware that a disclosure pursuant to this Policy does not satisfy your obligation to report to Commonwealth authorities. The mandatory reporting requirement is codified at VA. ANN. CODE § 63.2-1509, -1510.

² Please be aware that generally the Seminary is not responsible for informing local law enforcement agencies of alleged Sexual Misconduct of which it is aware; therefore, a report to the Seminary Campus Police Department pursuant to Section 2.02 (or any other Seminary office) will not automatically result in a report to local law enforcement. If it is determined, however, that the allegation, if true, may constitute a felony under Virginia law, then the Seminary or the Campus Police Department will report the incident to the Commonwealth's Attorney in the relevant jurisdiction, but will not disclose the identity of victim without permission. If, however, the Seminary determines that disclosure of the incident and the victim's name is necessary to protect the health or safety of a student or other individuals, the Seminary shall immediately disclose such information to the law enforcement agency that would be responsible for investigating the alleged act of sexual violence. If this occurs, the Seminary shall notify the victim that such disclosure is being made.

with a Strictly Confidential Resource, are prohibited from reporting alleged Sexual Misconduct to others absent an express directive from the alleged victim to do so (see Section 3.01(a)).

Any individual may report information regarding Sexual Misconduct on his/her own behalf (**as an alleged victim**) OR on behalf of the alleged victim (**as a third-party reporter**).

- (a) **Title IX Coordinator.** Union Presbyterian Seminary's Title IX Coordinator is Mr. Michael B. Cashwell, whose office is in Suite 112 of Watts Hall (3401 Brook Road). Mr. Cashwell may be contacted during business hours (Monday through Friday, 8:30 a.m. to 5:00 p.m.) by phone at 804-278-4205 or by email at mcashwell@upsem.edu.
- (b) **Responsible Employees.** A "Responsible Employee" is an employee of the Seminary who has the obligation to report to the Title IX Coordinator as soon as reasonably possible any reports or allegations or firsthand observations of Sexual Misconduct of which he or she becomes aware while he or she is serving in one of the capacities listed below.

The Seminary's Responsible Employees are **all non-student Seminary employees not designated as a Strictly Confidential Resource in Section 3.01 of this Policy** (including, for the avoidance of doubt, Campus Police and Deputy Title IX Coordinators).

No member of the Seminary community may discourage an individual from reporting alleged incidents of Sexual Misconduct. No employee is authorized to investigate or resolve alleged incidents of Sexual Misconduct without the involvement of the Seminary's Title IX Coordinator.

Reporting to the Seminary:
WHAT HAPPENS AFTER I REPORT?

If you report directly to the Title IX Coordinator :	After receiving a complaint or otherwise becoming aware of an incident of Sexual Misconduct, the Title IX Coordinator will promptly relay the information to the Review Committee, which will meet within 72 hours to review the allegations. The Title IX Coordinator, in consultation with the Review Committee, will initiate the investigation and resolution process (unless you request confidentiality pursuant to Section 3.02, in which case the information will be held in confidence by the Title IX Coordinator and the Review Committee unless the Title IX Coordinator determines, in consultation with the Review Committee, that, due to the Seminary's commitment to provide a reasonably safe and non-discriminatory environment, the request cannot be granted).
If you report to a Responsible Employee :	The Responsible Employee will forward the information to the Title IX Coordinator, who will initiate the investigation and resolution process by promptly relaying the information to the Review Committee, which will meet within 72 hours to review the allegations. The Title IX Coordinator, in consultation with the Review Committee, will initiate the investigation and resolution process (unless you request confidentiality pursuant to Section 3.02, in which case the information will be held in confidence by the Title IX Coordinator and the Review Committee unless the Title IX Coordinator determines, in consultation with the Review Committee, that, due to the Seminary's commitment to provide a reasonably safe and non-discriminatory environment, the request cannot be granted).
If you confide in the Chaplain:	The information you provided will remain strictly confidential and will not* be reported to the Title IX Coordinator (or anyone else) for investigation and resolution. <i>*Remember that in unusual circumstances the information you share with these individuals (such as situations involving imminent harm to a member of the community or situations involving abuse of a minor) may be disclosed.</i>
If you report to someone else (i.e., someone other than the Title IX Coordinator, a Responsible Employee, or the Chaplain) – such as a student-employee other than an RA:	The individual may or may not report details regarding the information you provided to the Title IX Coordinator. This is because the individual to whom you reported is not <i>obligated</i> to relay allegations of Sexual Misconduct to the Title IX Coordinator (and, conversely, is likely not <i>obligated</i> to maintain the information you shared in confidence). <i>For this reason, if you would like the information you share to be addressed by the Seminary, direct it to the Title IX Coordinator or a Responsible Employee. Conversely, if you would like the information you share to be maintained in strict confidence, direct it to the Chaplain.</i>

[This policy continues on the next page.]

ARTICLE III. CONFIDENTIALITY

Section 3.01 Confidentiality in Reporting and Disclosure.

The Seminary encourages victims of Sexual Misconduct to talk to someone about what happened so that they can get the support they need and the Seminary can respond appropriately. The Seminary wants individuals to be aware of the various reporting and confidential disclosure options available to them so that they can make informed choices about where to turn should they be subjected to Sexual Misconduct.

- (a) **Strictly Confidential Resource.** Individuals may discuss alleged Sexual Misconduct in strict confidence with the Seminary Chaplain (the "Strictly Confidential Resource"), regardless of whether the Chaplain is "on duty" in his or her professional capacity at the time that the discussion takes place.

Michelle Owens, Chaplain
Watts Hall 3401 Brook Road Richmond, VA
804-278-4232
mowens@upsem.edu

available Monday through Friday from 8:30 a.m. until 5:00 p.m.

Personally Identifiable Information shared with a Strictly Confidential Resource is not part of students' or employees' Seminary records and will not be reported to other Seminary personnel (including the Title IX Coordinator), to the Respondent, or to others unless the disclosing individual gives his or her consent to the disclosure, the law requires it (as may be the case with alleged Sexual Misconduct involving a minor, for example), or there is a risk of injury or death to an identified or readily identifiable person or persons. Therefore, disclosures to these employees generally will not trigger a Seminary investigation into an incident against the victim's wishes.

A Strictly Confidential Resource is not a Responsible Employee and therefore is not required to (and will not, absent direction from the disclosing individual to do so) report incidents of alleged Sexual Misconduct to the Title IX Coordinator. For purposes of clarity, please understand that many of the Seminary employees who are not Strictly Confidential Resources are Responsible Employees. Communications made to Responsible Employees (and others) are not entitled to the same confidentiality protections as those made to a Strictly Confidential Resource.

- (b) **Title IX Coordinator & Responsible Employees.** A disclosure to the Title IX Coordinator or a Responsible Employee (defined in Section 2.02(b) above) constitutes a report to the Seminary and obligates the Seminary to investigate the incident and take appropriate steps to address the allegations.

Section 3.02 Confidentiality in the Investigation and Resolution Processes.

- (a) **Sharing of Information (Applicable to All Reports and Complaints).** The Seminary will respect and will make every feasible effort to avoid the inappropriate disclosure of the information shared by and the identities of the parties involved in Sexual Misconduct matters.

Information regarding alleged Sexual Misconduct will generally be disclosed by Seminary personnel only as follows:

- (i) The Seminary's Responsible Employees will (and are obligated to) report information regarding alleged Sexual Misconduct to the Title IX Coordinator (see

Sections 2.02(b) and 3.02(b) for additional information on reporting to Responsible Employees).

- (ii) Upon receipt, the Title IX Coordinator will promptly relay the information to the Review Committee, which will meet within 72 hours to review the information.
 - (iii) Seminary personnel will (and are obligated to) handle information regarding alleged Sexual Misconduct in accordance with applicable local, state, and federal laws.
 - (iv) Seminary personnel may report alleged Sexual Misconduct to local law enforcement if warranted by the nature of the allegations at issue.
 - (v) Seminary administrators will share information regarding alleged Sexual Misconduct, as appropriate and necessary, in order to address and resolve the allegation(s) at issue, prevent the recurrence of similar Sexual Misconduct, and address the effects of the Sexual Misconduct.
- (b) **Requests for Confidentiality.** If information regarding alleged Sexual Misconduct is shared with the Title IX Coordinator or a Responsible Employee and the victim desires that the information not be shared with other Responsible Employees, with the Respondent, or with others, even as appropriate and necessary to address the allegations; that the Seminary not investigate the information; or that no disciplinary action be taken, the victim must request that the Seminary treat such information as confidential. This request must be made to the Assigned Title IX Coordinator who, in consultation with the Review Committee, will evaluate the request.
- (i) **Evaluation of the Request.** The Seminary takes requests for confidentiality seriously. The Assigned Title IX Coordinator will evaluate the request for confidentiality in the context of the Seminary's commitment to provide a reasonably safe and non-discriminatory environment and will determine whether such request will be granted. In order to make such a determination, the Assigned Title IX Coordinator may conduct a preliminary investigation into the alleged Sexual Misconduct and may weigh requests for confidentiality against the following factors, among others:
- 1) the seriousness of the alleged Sexual Misconduct (including, but not limited to, whether the Sexual Misconduct was perpetrated with a weapon);
 - 2) the increased risk that the alleged perpetrator will commit additional acts of Sexual Misconduct, such as (a) whether there have been other reports or complaints against the alleged perpetrator, (b) whether the alleged perpetrator has a history of arrests or records from a prior school indicating a history of Sexual Misconduct or a history of violence, (c) whether the alleged perpetrator threatened further Sexual Misconduct or threatened violence against the victim or others, or (d) whether the Sexual Misconduct was committed by multiple perpetrators;
 - 3) whether the information reveals a pattern of perpetration (*e.g.*, via illicit use of drugs or alcohol, at a given location, and/or by a particular group or person);
 - 4) whether the victim is a minor; and

- 5) whether the Seminary possesses other means to obtain relevant evidence of the Sexual Misconduct (e.g., security cameras or security personnel, physical evidence).

(ii) **Determination as to Whether Request Can Be Granted.** The presence of one or more of the above factors may lead the Seminary to investigate and, if appropriate, pursue disciplinary action. The Assigned Title IX Coordinator will inform the person requesting confidentiality whether the Seminary intends to honor the request or whether the Seminary intends to pursue investigation and/or resolution in spite of the request.

If the Seminary determines that it cannot maintain confidentiality, it will inform the victim prior to starting an investigation and will, to the extent possible, only share information with people responsible for addressing the allegations. The Seminary will also take ongoing steps to protect the victim from Retaliation or harm and work with the victim to create a safety plan, if warranted, and assist the victim in accessing other services and interim measures (see Section 5.02).

If the Seminary honors the request for confidentiality, the Seminary's ability to investigate and take action in response to an allegation of Sexual Misconduct may be limited. A Respondent is entitled to know the name of the accuser and information regarding the nature of the allegations in order to defend against the allegations; thus, the Seminary may not be able both to adjudicate the Complaint and to maintain confidentiality during that process.

Even when the Seminary determines to abide by a request for confidentiality (and even if such request limits the Seminary's ability to take disciplinary action against the Respondent):

- 1) To the extent practicable and appropriate, the Seminary will take prompt action to limit the effects of the alleged Sexual Misconduct and to prevent its recurrence. For instance, the Seminary may take appropriate interim measures to ensure an individual's safety even in the absence of a Seminary proceeding. The Seminary may also consider broader remedial action (such as increased monitoring, supervision, or security at locations where reported sexual violence occurred, increased education and prevention efforts, including to targeted population groups, and climate assessments).
- 2) Information regarding the alleged Sexual Misconduct may be included in Seminary records, as necessary and appropriate.
- 3) Seminary personnel will (and are obligated to) handle information regarding alleged Sexual Misconduct in accordance with applicable local, state, and federal laws.

[This policy continues on the next page.]

ARTICLE IV. GENERAL PROVISIONS APPLICABLE TO ALL ALLEGATIONS OF SEXUAL MISCONDUCT

Section 4.01 Oversight.

The Assigned Title IX Coordinator, in consultation with the Review Committee, will be responsible for overseeing the prompt, fair, and impartial investigation and resolution of Complaints and other reports of Sexual Misconduct that are filed with or disclosed to the Seminary. Upon receipt of information regarding alleged Sexual Misconduct, the Assigned Title IX Coordinator will promptly relay the information to the Review Committee, which shall meet within 72 hours to review the information and shall meet again as necessary as new information becomes available.

Section 4.02 Conflicts.

If any administrator designated by this Policy to participate in the investigation or resolution of a report or Complaint is the Respondent (including, but not limited to, the Title IX Coordinator), then the President will appoint another Seminary administrator to perform such person's duties under this Policy. (If the President is the Respondent, then the Title IX Coordinator will appoint another Seminary administrator to perform his or her other duties under this Policy.)

Section 4.03 Support Persons / Advisors.

Both the Complainant and the Respondent may have one support person / advisor present to support and assist them during any meeting or interview held pursuant to this Policy (including during related meetings, during investigative interviews, and during the interview or other proceeding). The Complainant and the Respondent are not limited in their choice of support person / advisor. Support persons / advisors may be friends, victim advocates, lawyers, or others. Absent accommodation for disability, the Complainant and the Respondent may not be accompanied by more than one support person / advisor or by other individuals during meetings, interviews, and/or other proceedings.

The Complainant and the Respondent may consult privately with their respective support persons / advisors during meetings, interviews, or other proceedings, provided that such consultation is not disruptive. Support persons / advisors may not, however, directly participate in or have a speaking role during any meeting, interview, or other proceeding (including but not limited to asking or answering questions of anyone other than the party he or she is there to support; examining witnesses; or making statements to the person(s) conducting the meeting or proceeding, the interviewer(s), or the members of the Sexual Misconduct Panel). A support person / advisor may be required to leave a meeting, interview, or other proceeding if his or her presence or conduct is disruptive or otherwise warrants his or her removal. A support person / advisor must maintain confidentiality regarding any and all communications exchanged pursuant to this Policy.

Section 4.04 Timing.

The Seminary will make every reasonable effort to ensure that the investigation and resolution of a report or Complaint occurs in as timely and efficient a manner as possible. The Seminary's investigation and resolution of a Complaint (not including an appeal, if applicable) generally will be completed within 60 calendar days of the receipt of the Complaint, absent extenuating circumstances. Interviews by the Sexual Misconduct Panel, if any, will take place within 40 calendar days of the filing of the Complaint.

Any party may request an extension of any deadline by providing the Assigned Title IX Coordinator with a written request for an extension that includes reference to the duration of the proposed extension and the basis for the request.

The Assigned Title IX Coordinator may modify any deadline contained in this Policy as necessary and for good cause. The Assigned Title IX Coordinator will concurrently inform the Complainant and the Respondent of any deadline that has been extended and the reason(s) therefor.

Section 4.05 Documentation.

The Seminary will retain certain documentation (including but not limited to the written Complaint, the Investigative Report, petitions for appeal, notifications of decisions, and written findings of fact), for at least seven years. Documentation pertaining to expulsions, degree revocations, or termination of employment will be retained indefinitely or in accordance with Seminary policy.

Section 4.06 Prohibition on Retaliation.

Retaliation against any person for filing, supporting, or providing information in connection with an allegation of Sexual Misconduct is strictly prohibited. Any person who feels that he or she has been subjected to Retaliation should make a report to the Seminary's Title IX Coordinator. Alleged violations of this prohibition will be addressed pursuant to the Seminary disciplinary procedure deemed appropriate by the Title IX Coordinator.

Section 4.07 Prohibition on Providing False Information.

Any individual who knowingly files a false report or Complaint under this Policy, who knowingly provides false information to Seminary officials, or who intentionally misleads Seminary officials who are involved in the investigation or resolution of a Complaint may be subject to disciplinary action.

Section 4.08 Related Misconduct.

The Seminary may adjudicate, pursuant to this Policy, alleged misconduct that is related to the Sexual Misconduct at issue, even if such related misconduct is not, when standing alone, governed by this Policy.

Section 4.09 Limited Immunity for Alcohol Use.

The Seminary considers the reporting and adjudication of Sexual Misconduct cases on campus to be of paramount importance. The Seminary does not condone underage drinking; however, the Seminary may extend limited immunity from punitive sanctioning in the case of illegal alcohol to alleged victims, witnesses, and those reporting incidents and/or assisting the alleged victims of Sexual Misconduct, provided that they are acting in good faith in such capacity, and also may extend such immunity to a Respondent.

Section 4.10 Disability Accommodations.

The Seminary will make arrangements to ensure that individuals with disabilities are provided appropriate accommodations, to the extent necessary and available, to participate in the steps and procedures outlined in this Policy. Requests for physical barrier-related accommodations must be made to the Physical Plant Department, located at 1313 Westwood Avenue in Richmond, VA. Requests for other types of accommodations must be made to Mr. Michael B. Cashwell, whose office is in Suite 112 of Watts Hall (3401 Brook Road). Mr. Cashwell may be contacted by phone at 804-278-4205 or by email at mcashwell@upsem.edu.

Section 4.11 Confidentiality and Disclosure.

In order to comply with FERPA, Title IX, and other applicable laws and to provide an orderly process for the presentation and consideration of relevant information without undue intimidation or pressure, resolution processes pursuant to this Policy are not open to the general public. Accordingly, documents prepared in anticipation of the informal and/or the formal resolution processes (including the Complaint, the

Investigative Report, and notices and communications to or from the Complainant or the Respondent) and/or documents, statements, or other information introduced in the meetings and proceedings may not be disclosed outside of those processes except as may be required or authorized by law.

For the avoidance of doubt, if it is determined that the Respondent committed Sexual Assault, Seminary policy does not prohibit the further disclosure of notice of outcome letters by either the Complainant or the Respondent.

[This policy continues on the next page.]

ARTICLE V. THE PROCESS APPLICABLE TO ALL COMPLAINTS OF SEXUAL MISCONDUCT

Section 5.01 STEP 1: A Report of Sexual Misconduct Becomes a Complaint.

A Complaint may be initiated in one of the following ways:

- (a)** An alleged victim may file a written Complaint with the Seminary or a third party may file a written Complaint on behalf of the alleged victim. An alleged victim may complete a Complaint form provided by the Seminary (see Exhibit C attached to this Policy) or may submit a written statement in his or her own words providing sufficient information for the Seminary to investigate the allegations contained therein (including but not limited to the name of the alleged victim, the name of the alleged perpetrator, and the date, location, and nature of the alleged Sexual Misconduct).
- (b)** An alleged victim may meet in person with the Title IX Coordinator to report alleged Sexual Misconduct and complete the Complaint form during that in-person meeting.
- (c)** The Seminary can determine, based on the information of which it becomes aware, that it is necessary and/or appropriate for it to investigate the information available to it. (The Seminary may become aware of potential Sexual Misconduct as a result of allegations of Sexual Misconduct reported to the Seminary's Responsible Employees, among other ways.)

Once a Complaint is initiated, an alleged victim will be referred to as a "Complainant" and an alleged perpetrator will be referred to as a "Respondent."

Section 5.02 STEP 2: Evaluation of Interim Protective Measures and Interim Disciplinary Sanctions.

Following the initiation of a Complaint (and at any point during the Complaint, investigative, or disciplinary processes, if the Assigned Title IX Coordinator deems it necessary for the protection or well-being of any member of the Seminary community), the Assigned Title IX Coordinator will determine which, if any, of the following measures and/or actions should be taken:

- (a) Interim Protective Measures for Complainants.** When warranted to ensure the safety and wellbeing of the Complainant, the Assigned Title IX Coordinator may implement one or more interim protective measures, if appropriate and/or reasonably available, including but not limited to the following:
 - (i)** Issuing no-contact orders to prevent any contact between the Complainant, the Respondent, witnesses, and/or third parties;
 - (ii)** Providing the Complainant an escort to ensure that he or she can move safely between classes, work, and/or activities;
 - (iii)** Changing work arrangements or schedules; and
 - (iv)** Changing academic schedules (such as moving the Complainant or the Respondent from one class section to another).
- (b) Interim Disciplinary Measures for Respondents.** When necessary for the protection or well-being of the Complainant, students, and/or the Seminary community, the Assigned Title IX Coordinator may impose interim disciplinary measures prior to the adjudication of the Complaint pursuant to this Policy. The Assigned Title IX Coordinator will notify the

Respondent of the interim measure(s) in writing. The Assigned Title IX Coordinator's decision is final as to the interim disciplinary measures, pending the final results of the adjudication of the Complaint pursuant to this Policy.

- (i) **Student Respondents.** Possible interim measures for student Respondents include but are not limited to (a) prohibiting the student from being on Seminary property and/or using Seminary facilities (including all areas controlled, leased, or used by the Seminary) (b) prohibiting the student from attending classes or limiting class attendance, (c) prohibiting the student from participating in and/or attending student programs and activities, (d) suspension, (e) prohibiting the student from representing the Seminary in leadership positions, and (f) prohibiting the student from having contact with specified persons.
- (ii) **Faculty and Staff Respondents.** When the Respondent is a member of the faculty or the staff, the Assigned Title IX Coordinator may (a) take such steps as are reasonable, appropriate, and necessary to restrict the Respondent's movement on campus; or (b) take such steps as are reasonable, appropriate, and necessary to re-assign or place on administrative leave such staff or faculty Respondent.

Section 5.03 STEP 3: Initial Meetings with the Assigned Title IX Coordinator.

- (a) **Complainant's Initial Meeting with the Assigned Title IX Coordinator.** As soon as is reasonably practicable following the filing of a Complaint, the Assigned Title IX Coordinator will contact the Complainant to schedule an initial meeting to discuss the Complaint and avenues for its resolution. (If a third party reported the alleged Sexual Misconduct on behalf of the Complainant, the Assigned Title IX Coordinator will attempt to meet with such person and gather information from him or her before speaking with the Complainant.) The Complainant may, within seven calendar days of the interview with the Assigned Title IX Coordinator, submit a written statement of position regarding the alleged Sexual Misconduct to the Assigned Title IX Coordinator.

Following the initial meeting with the Complainant, the Assigned Title IX Coordinator will, if applicable, promptly determine the interim measures to be provided during the pendency of the investigative and resolution processes. (If protective measures have already been implemented pursuant to Section 5.02(a), the Assigned Title IX Coordinator will evaluate whether they should continue to be provided and whether other interim measures should also be implemented.) These interim measures may include the protective measures listed in Section 5.02(a) and/or other appropriate interim measures, such as

- Rescheduling class work, assignments, and examinations;
- Arranging for the Complainant to withdraw from or take an incomplete in a class without penalty;
- Permitting a temporary withdrawal from the Seminary;
- Providing academic support services (e.g., tutoring); and
- Providing alternative course completion options.

Such determination will promptly be communicated to the Complainant (no later than it is communicated to the Respondent) and, to the extent that it affects him or her, the Respondent.

- (b) **Respondent's Initial Meeting with the Assigned Title IX Coordinator.** If the Complainant wishes to pursue a formal or informal resolution through the Seminary or if the Seminary otherwise deems that a further investigation is warranted, then as soon as is reasonably

practicable following the Assigned Title IX Coordinator's initial meeting with the Complainant, the Assigned Title IX Coordinator will schedule an initial meeting with the Respondent to discuss the Complaint and to inform the Respondent of any interim measures already determined and being provided to the Complainant that directly affect the Respondent. The Respondent may, within seven calendar days of the interview with the Assigned Title IX Coordinator, submit a written statement of position regarding the alleged Sexual Misconduct to the Assigned Title IX Coordinator.

Following the initial meeting with the Respondent, the Assigned Title IX Coordinator will, if applicable, promptly determine the interim measures to be provided to the Respondent during the pendency of the investigative and resolution processes (such as those listed in Section 5.03(a)). Such determination will promptly be communicated to the Respondent (no later than it is communicated to the Complainant) and, to the extent that it affects him or her, the Complainant.

Section 5.04 STEP 4: The Investigation.

(a) The Determination as to Whether to Appoint Investigator.

(i) The Complaint Is Forwarded to an Investigator. The Assigned Title IX Coordinator will promptly appoint an Investigator, will share his or her name and contact information with the Complainant and the Respondent, and will forward the Complaint to the Investigator unless it is clear on its face that *no reasonable grounds* exist for believing that the Respondent engaged in Material Sexual Misconduct.

Within three business days of such appointment, the Investigator, the Complainant, or the Respondent may identify to the Assigned Title IX Coordinator in writing alleged conflicts of interest posed by assigning such Investigator to the matter. The Assigned Title IX Coordinator will carefully consider such statements and will assign a different individual as Investigator if it is determined that a material conflict of interest exists. Failure to submit a timely and proper objection to the Investigator will constitute a waiver of any right of such objection.

(ii) The Complaint Is Not Forwarded to an Investigator. In the event that the Assigned Title IX Coordinator does not forward the Complainant's Complaint to an Investigator (because he or she has determined that *no reasonable grounds* exist for believing that the Respondent engaged in Material Sexual Misconduct), the Assigned Title IX Coordinator will close the Complaint, document the closure, and promptly notify the Complainant and the Respondent of the closure and the rationale for the closure.

(b) The Investigator's Activities. Upon receipt of the Complaint, the Investigator will promptly begin his or her investigation, taking steps such as:

(i) conducting interviews with the Complainant, the Respondent, and third-party witnesses (including expert witnesses, where applicable) and summarizing such interviews in written form;

(ii) visiting, inspecting, and taking photographs at relevant sites; and

(iii) where applicable, collecting and preserving relevant evidence (in cases of corresponding criminal complaints, this step may be coordinated with law enforcement agencies and governed by those memoranda of understanding, if any, existing between the Seminary and local law enforcement agencies).

Throughout the investigation, the Investigator will remain impartial.

- (c) **The Investigator's Report.** The Investigator will complete a written investigative report of the events in question (the "Investigative Report") within 40 calendar days of the initiation of the Complaint. The Investigative Report will include items such as the written Complaint, any written statements of position, summaries of all interviews conducted, copies of relevant photographs, descriptions of relevant evidence, summaries of relevant electronic records, and a comprehensive, detailed report of the events in question. The Investigator will share the Investigative Report with the Assigned Title IX Coordinator, who will make it (concurrently) available to the Complainant and the Respondent to review, after redacting from it information that would not be admissible at an interview on the matter pursuant to Section 6.02(c)(iii) of this Policy. The Complainant and the Respondent may not make copies of the Investigative Report.
- (d) **Effect of Corollary Criminal Investigation.** In the event that a criminal investigation is ongoing concurrently with the Seminary's investigation, the Seminary's investigation may be delayed temporarily while criminal investigators are gathering evidence. (The Seminary's investigation and adjudication of a Complaint is otherwise independent of a criminal investigation: the Seminary's investigation and adjudication of a Complaint does not depend on whether law enforcement agencies investigate the matter, bring corresponding charges, or close their case.)

Section 5.05 STEP 5: The Evaluation of the Investigative Report and Determination as to Whether the Complaint Will Proceed to Adjudication.

The Assigned Title IX Coordinator will evaluate the Investigative Report and will direct that the Complaint will proceed to adjudication according to the procedures set forth in Article VI and/or Article VII below unless it is clear from the Investigative Report that *no reasonable grounds* exist for believing that the Respondent engaged in Material Sexual Misconduct. The Assigned Title IX Coordinator will promptly inform the Complainant and the Respondent that the Complaint will proceed to adjudication. (The Complaint will proceed to formal adjudication unless the Complainant elects informal resolution and informal resolution is permissible pursuant to Article VII.)

If the Assigned Title IX Coordinator finds that it is clear from the Investigative Report that *no reasonable grounds* exist for believing that the Respondent engaged in Material Sexual Misconduct, then the Assigned Title IX Coordinator will close the Complaint, document the closure, and promptly notify the Complainant and the Respondent of the closure and the rationale for the closure.

[This policy continues on the next page.]

ARTICLE VI. FORMAL ADJUDICATION PROCEDURES

Section 6.01 Respondent's Acknowledgement of Responsibility.

At any time prior to the imposition of sanctions, the Respondent may elect to acknowledge his or her actions and take responsibility for the alleged Sexual Misconduct. In such a situation, the Assigned Title IX Coordinator will propose (a) sanction(s) for the Respondent. If both the Complainant and the Respondent agree to such proposed sanction(s), then the resolution of the Complaint will be final, and neither party will have any rights of appeal.

If either the Complainant or the Respondent objects to such proposed sanction(s), then a Sexual Misconduct Panel will convene for the exclusive purpose of determining sanctions, which determination may be subject to appeal pursuant to Article VIII of this Policy.

Section 6.02 The Adjudication Process (the Interviews and the Determination of Responsibility).

If the Assigned Title IX Coordinator directs the Complaint to proceed to formal adjudication, the Sexual Misconduct Panel will determine whether the Respondent engaged in Material Sexual Misconduct and which sanctions, if any, are appropriate. To do so, the Sexual Misconduct Panel will review the Complaint, the Investigative Report, and other available evidence and will interview the Complainant, the Respondent, and the witnesses that the Sexual Misconduct Panel deems appropriate.

(a) **No Contact.** The Complainant and the Respondent may not contact each other outside of the interviews, even to discuss the interviews.

(b) **Preparation (What Happens Before the Interviews).**

(i) **The Sexual Misconduct Panel Is Composed, and the Parties Are Given Notice of Its Composition and an Opportunity to Object to It.**

1) **Composition of the Sexual Misconduct Panel.** The Assigned Title IX Coordinator will appoint the members of the "Sexual Misconduct Panel," to include at least three faculty and/or staff members, and will designate one of the members to serve as the Chair of the Sexual Misconduct Panel. The Assigned Title IX Coordinator will share the Complaint and the Investigative Report (redacted to remove inadmissible information pursuant to Section 6.02(c)(iii) below) with the Sexual Misconduct Panel. The Assigned Title IX Coordinator will notify the Sexual Misconduct Panel of the charges to be adjudicated (including, if only a portion of the misconduct alleged in the Complaint justifies continuing to the formal adjudication process, the part(s) of the alleged misconduct that will be the subject of the interviews).

2) **Notice of the Interviews.** The Sexual Misconduct Panel will notify the Assigned Title IX Coordinator, who will provide concurrent written notice to the Complainant and the Respondent, of the interviews that the Sexual Misconduct Panel intends to conduct with the Complainant and the Respondent, including (a) the charges to be adjudicated (including, if only a portion of the misconduct alleged in the Complaint justifies continuing to the formal adjudication process, the part(s) of the alleged misconduct that will be the subject of the interviews), (b) the time, date, and location of each interview, and (c) the names and titles of the members of the Sexual Misconduct Panel.

- 3) **Objections to the Composition of the Sexual Misconduct Panel.** Either party may challenge the participation of any member of the Sexual Misconduct Panel by submitting a written objection to the Assigned Title IX Coordinator within three business days of receipt of the applicable notice of the interview. Such objection must state the specific reason(s) for the objection. The Assigned Title IX Coordinator will evaluate the objection and determine whether to alter the composition of the Sexual Misconduct Panel. Failure to submit a timely and proper objection will constitute a waiver of any right of objection to the composition of the Sexual Misconduct Panel. Any changes in the composition of the Sexual Misconduct Panel will be provided in writing to both parties.

(ii) **The Parties May Make Certain Requests and Provide Certain Information.**

- 1) **Requests for Special Arrangements and/or Accommodations.** In addition to disability-related accommodations (see Section 4.10), the parties may request special arrangements and/or accommodations (for example, the ability to participate remotely³ or in a separate room by closed-circuit technology) in connection with the interviews. Any such requests must be submitted in writing to the Assigned Title IX Coordinator no later than five business days before the applicable interview. The Assigned Title IX Coordinator will determine, in his or her sole discretion, whether to grant such requests, and his or her decision will be final. Additionally, even in the absence of a specific request from a party, the Assigned Title IX Coordinator may make special arrangements related to the interview or other accommodations as he or she deems necessary.
- 2) **Provision of Information.**
 - a) **By the Sexual Misconduct Panel.** No fewer than five business days prior to the first interview date, the Sexual Misconduct Panel will provide concurrent written notice to the Complainant and the Respondent of the witnesses that the Sexual Misconduct Panel plans to call.⁴ (At or before such time the Sexual Misconduct Panel will also provide notice to each witness or other third party whose testimony the Sexual Misconduct Panel deems relevant, requesting such individuals to appear before the Sexual Misconduct Panel. The notice should set forth the date, time, and location of the interview.)
 - b) **By the Parties.** No fewer than five business days prior to the first interview date, the Complainant and the Respondent must provide the Sexual Misconduct Panel with
 - i) a list of witnesses, if any, that they propose that the Sexual Misconduct Panel call, a brief description of each proposed witness's connection to and/or knowledge of the issues in

³ In the case of students matriculated at or employees based at the Seminary's Charlotte campus, the Seminary will make reasonable efforts to provide for testimony by closed-circuit technology where appropriate.

⁴ In the event that the Sexual Misconduct Panel later determines to conduct interviews with additional witnesses or other individuals, such as may be the case after it has reviewed the materials provided to it pursuant to Section 6.02(b)(ii)(2)(b), for example, the Assigned Title IX Coordinator will provide a status update to the Complainant and the Respondent accordingly.

dispute, and a list of questions, if any, for the Sexual Misconduct Panel to ask such witnesses,⁵

- ii) copies of relevant documents they propose to present, and
- iii) the name of the advisor / support person, if any, who will accompany them to the interview, as well as a brief explanation of the relationship between them.

In the absence of good cause, which shall be determined by the Sexual Misconduct Panel in its sole discretion, neither the Complainant nor the Respondent may introduce in an interview witnesses or documents of which the Sexual Misconduct Panel was not properly made aware.

- c) **By the Assigned Title IX Coordinator.** No fewer than three business days prior to the first interview date, the Assigned Title IX Coordinator will provide each party with a packet containing copies of the Investigative Report (which will include copies of the Complaint and the other party's written statement of position (if any)), the other party's list of witnesses, the name of the other party's advisor/support person, and any other documents or other information to be presented at the other party's interview. If applicable, the Assigned Title IX Coordinator will also inform each party of special arrangements and/or accommodations that have been granted to the other party, in each case if and to the extent that such arrangements and/or accommodations affect the nonrequesting party.

(c) The Interviews.

- (i) **Manner of Conducting the Interviews.** Both parties will have the opportunity to appear separately before the Sexual Misconduct Panel, and the Sexual Misconduct Panel may separately interview witnesses or other individuals as it deems advisable. The Sexual Misconduct Panel will be responsible for asking questions of the parties and the witnesses and developing evidence through testimony and the presentation of relevant documents. The Sexual Misconduct Panel will resolve any questions concerning procedure or the admission of evidence or testimony.
- (ii) **Participation.** Members of the Seminary community participating in the formal adjudication process are expected to provide truthful testimony and may be subject to disciplinary action for failing to provide truthful testimony.
 - 1) **Of the Complainant.** The Complainant may choose not to participate in the interview or answer some or all questions posed by the Sexual Misconduct Panel; however, his or her exercise of that option will not preclude the Sexual Misconduct Panel from making a determination regarding the Complaint filed against the Respondent.
 - 2) **Of the Respondent.** The Respondent may choose not to participate in the interview or answer some or all questions posed by the Sexual Misconduct Panel; however, his or her exercise of that option will not preclude the

⁵ The Sexual Misconduct Panel's, the Complainant's, and the Respondent's lists of witnesses may, but are not required to, overlap.

Sexual Misconduct Panel from making a determination regarding the Complaint filed against the Respondent.

- 3) **Of Witnesses.** The Chair of the Sexual Misconduct Panel will determine the order of the witness interviews. Each party is responsible for the attendance of those witnesses whom such party seeks to present and who have not been identified by the Sexual Misconduct Panel on the Sexual Misconduct Panel's witness list.

(iii) **Evidentiary Matters.**

- 1) **Presentation of Evidence.** The Complainant and the Respondent will have an equal opportunity to present evidence, including signed written statements from witnesses and other documentary evidence. Formal rules of evidence will not be observed during the interviews.

- 2) **Specific Types of Evidence.**

- a) **Written Witness Statements.** Live witness testimony is not required; however, the Sexual Misconduct Panel has the discretion to give lesser weight to written witness statements than to live witness testimony. The Assigned Title IX Coordinator will provide a form for written witness statements that will include an attestation that the information provided is true to the best of the witness's knowledge.

- b) **Evidence Regarding Past Sexual Histories.** Evidence of the past sexual histories of the Complainant and the Respondent will not be permitted at the interviews, with the following exceptions:

- i) evidence is permitted to show that the Complainant has in the past been formally disciplined by the Seminary for falsely filing Complaints alleging Sexual Misconduct,
- ii) evidence is permitted to show the existence of a relationship (including a sexual relationship) between the Complainant and the Respondent,
- iii) evidence is permitted to show that the Respondent has in the past been either convicted in a criminal proceeding or formally disciplined by the Seminary for Sexual Misconduct, and
- iv) evidence regarding the past sexual activity of the Respondent (regardless of whether the Respondent was formally charged with a violation of the Policy with respect to such conduct and regardless of whether a report has been filed with the Seminary with respect to such conduct) may be permitted to show that the Respondent has engaged in a pattern of behavior similar to the alleged Sexual Misconduct at issue before the Sexual Misconduct Panel, provided that (1) the Respondent has not been found "not responsible" by the Seminary in a proceeding related to such sexual activity and (2) the Chair of the Sexual Misconduct Panel has made written findings both

that the evidence is reliable and trustworthy and that the conduct is sufficiently and substantially similar to the conduct at issue before the Sexual Misconduct Panel to suggest a pattern of behavior.

- (iv) **Failure to Appear.** If the Complainant and/or the Respondent fails to appear at the scheduled interview, and such party was provided proper notice of the interview as set forth above, then absent extenuating circumstances, the Sexual Misconduct Panel will proceed with the formal adjudication process and determine the resolution of the Complaint.

(d) **Outcome.**

- (i) **Responsibility.** Following the conclusion of the interviews, the Sexual Misconduct Panel will determine (using a preponderance of the evidence standard) whether the evidence establishes that it is more likely than not that the Respondent committed Material Sexual Misconduct. The Sexual Misconduct Panel will prepare written findings of fact in support of its decision and will render a finding of “Responsible” or “Not Responsible.” In order to render a finding of “Responsible,” the Panel must reach a unanimous decision. If the Respondent is found “Responsible,” the Sexual Misconduct Panel will also specify whether the Respondent is found “Responsible” for Sexual Assault.

(ii) **Sanctions.**

- 1) **Generally.** If the Sexual Misconduct Panel renders a finding of “Responsible,” it will determine appropriate sanctions to be imposed on the Respondent. Sanctions for a finding of “Responsible” depend upon the nature and gravity of the Sexual Misconduct, any record of prior discipline for Sexual Misconduct, or both. Sanctions include mandated counseling, written reprimand, withholding of a promotion or pay increase, reassigning employment, terminating employment, temporary suspension without pay, compensation adjustments, or other employment-related sanctions; expulsion or suspension from the Seminary, disciplinary probation, dismissal from an academic program, and/or other educational sanctions – in each case as are deemed appropriate by the Sexual Misconduct Panel. The Sexual Misconduct Panel will determine sanctions, giving consideration to whether a given sanction will (a) bring an end to the violation in question, (b) reasonably prevent a recurrence of a similar violation, and (c) remedy the effects of the violation.

- 2) **Implementation of Sanctions.** Sanctions imposed generally are not effective until the resolution of any timely appeal of the decision of the Sexual Misconduct Panel pursuant to Article VIII. However, if it is advisable in order to protect the welfare of the Complainant or the Seminary community, the Sexual Misconduct Panel may recommend and the Assigned Title IX Coordinator may determine that any sanctions be effective immediately and continue in effect until such time as the appeal process is exhausted. The Sexual Misconduct Panel will forward its sanctions determination (and, if applicable, its recommendation regarding their immediate implementation) to the Assigned Title IX Coordinator.

- (iii) **Notice of Outcome Letter.** Within 60 calendar days following the filing of the Complaint, the Seminary will issue a written decision letter concurrently to the Respondent and the Complainant.

- 1) For **employee and third-party Respondents**, the letter will set forth (a) the name of the Respondent, (b) the violation(s) of this Policy for which the Respondent was found responsible or a statement that the Respondent was found not to have violated this Policy, (c) the sanctions imposed on the Respondent, if any, and (d) the rationale for the findings and the sanctions.
- 2) For **student Respondents alleged to have committed Sexual Assault**, the letter will set forth (a) the name of the Respondent, (b) the violation(s) of this Policy for which the Respondent was found responsible or a statement that the Respondent was found not to have violated this Policy, (c) the rationale for the finding, and (d) the sanctions imposed on the Respondent, if any (setting forth only a description of the disciplinary action taken, the date of its imposition, its duration, and the rationale for such action).
- 3) For **student Respondents alleged to have committed any other form of Sexual Misconduct**, the letter will set forth (a) the name of the Respondent, (b) the violation(s) of this Policy for which the Respondent was found responsible or a statement that the Respondent was found not to have violated this Policy, (c) the rationale for the finding, and (d) the sanctions imposed on the Respondent, if any (setting forth only a description of the disciplinary action taken, the date of its imposition, its duration, and the rationale for such action). To the extent that the sanctions imposed on the Respondent do not constitute part of the Complainant's Education Record, then such information will be redacted from the version of the notice of outcome letter that is provided to the Complainant.

- (iv) **Final Accommodations and Prevention of Retaliation.** In addition to any sanctions imposed on the Respondent, promptly following the conclusion of the interviews and the Sexual Misconduct Panel's issuance of the notice of outcome letters, the Assigned Title IX Coordinator will determine the final accommodations to be provided to the Complainant, if any, and the Assigned Title IX Coordinator will communicate such decision to the Complainant and, to the extent that it affects him or her, to the Respondent. Such accommodations may include, but are not limited to those listed in Sections 5.02(a) and 5.03(a) above.

The Assigned Title IX Coordinator will also take steps, where necessary, to prevent the harassment of or Retaliation against the Complainant or third parties, such as informing them about how to report subsequent problems, following up with them to ensure that there are no subsequent problems, providing trainings for the school community, and providing Sexual Misconduct or other counseling for the Respondent. The Assigned Title IX Coordinator will also, where appropriate, take steps to prevent the harassment of the Respondent.

Furthermore, the Assigned Title IX Coordinator will take prompt corrective action if the Complainant experiences Retaliation or is subjected to further Sexual Misconduct or if the original sanctions imposed on the Respondent are ineffective to protect the safety and well-being of the Complainant or other members of the Seminary community. In taking the above-outlined steps, the Assigned Title IX Coordinator will make every reasonable effort to minimize the burden on the Complainant.

[This policy continues on the next page.]

ARTICLE VII. INFORMAL RESOLUTION

Section 7.01 General Procedures and Policies. The following procedures apply if the Complainant elects informal resolution of his or her Complaint.

- (a) **Applicability of the Informal Resolution Process.** The Complainant may elect informal resolution of his or her Complaint if (i) the Respondent agrees to such resolution, (ii) the Complainant and the Respondent are both students of the Seminary or are both employees of the Seminary, (iii) the Assigned Title IX Coordinator determines that informal resolution is an appropriate mechanism for resolving the Complaint, and (iv) the Complaint does not involve Sexual Assault. Informal resolution may not be selected for less than all of the misconduct alleged in the Complaint (for example, the parties may not choose to resolve a claim of Sexual Assault according to the formal resolution process but mediate all other allegations).
- (b) **Termination of the Informal Resolution Process.** Either the Complainant or the Respondent may terminate the informal resolution process at any time and proceed with formal resolution. Furthermore, the Assigned Title IX Coordinator may terminate informal resolution at any time and order that the parties proceed with formal resolution instead. In such cases, statements or disclosures made by the parties in the course of the informal resolution process may be considered in the subsequent formal resolution proceedings.
- (c) **The Respondent's Disciplinary Record.** The informal resolution process will not result in a disciplinary record for the Respondent. However, the fact and details of the allegation(s) and the outcome of the informal resolution may be considered in connection with the evaluation of any subsequent Sexual Misconduct allegations against, and discipline-related decisions involving, the Respondent.

Section 7.02 The Informal Resolution Process.

- (a) **The Presiding Officer.** When the Complainant's Complaint is to be resolved according to the informal resolution process, there will be a proceeding before a Presiding Officer. The Assigned Title IX Coordinator will either serve as the Presiding Officer or appoint another Seminary employee to do so.
- (b) **Notice of the Proceeding.** The Assigned Title IX Coordinator will provide concurrent notice to the Complainant and the Respondent, by email or in person, setting forth (i) the date, time and location of the proceeding and (ii) the name of the individual serving as the Presiding Officer.

Either party may challenge the participation of the Presiding Officer by submitting a written objection to the Assigned Title IX Coordinator within three business days of receipt of the notice of the proceeding. Such objection must state the specific reason(s) for the objection. The Assigned Title IX Coordinator will evaluate the objection and determine whether to change the Presiding Officer. Failure to submit a timely and proper objection will constitute a waiver of any right of objection. Any substitution of the party serving as the Presiding Officer will be provided in writing to both parties prior to the date of the proceeding.

- (c) **Attendance.** Both parties are expected to attend the informal resolution proceeding. If either party fails to appear at the proceeding, and such party was provided proper notice of the proceeding as set forth above, then absent extenuating circumstances, the Presiding Officer may direct that resolution of the Complaint be determined according to the formal resolution process.

- (d) **The Proceeding.** During the informal resolution proceeding, the Complainant and the Respondent may (i) confront each other in the presence of, and facilitated by, the Presiding Officer, (ii) communicate their feelings and perceptions regarding the incident and the impact of the incident (either by communicating directly with each other or by communicating indirectly through the Presiding Officer), and (iii) relay wishes and expectations regarding protection and conduct in the future.
- (e) **Resolution.** During the proceeding, the Presiding Officer will attempt to facilitate the parties' resolution of the Complaint. If this process results in a resolution between the parties and the Assigned Title IX Coordinator finds the resolution to be appropriate under the circumstances (giving consideration to the extent to which the resolution will protect the safety of the Complainant and the entire school community), the informal disciplinary procedure will be concluded and the Complaint will be closed. If the parties are unable to reach a resolution or the Assigned Title IX Coordinator finds the resolution reached to be inappropriate, then the formal resolution process outlined in Article VI of this Policy will promptly commence.
- (f) **Final Accommodations.** Following the closure of the Complaint, the Assigned Title IX Coordinator will promptly determine the final accommodations to be provided to the Complainant, and the Assigned Title IX Coordinator will communicate such decision to the Complainant, respectively, and, to the extent that the accommodations affect him or her, to the Respondent. Such accommodations may include, but are not limited to, those set forth above in Sections 5.02 and 5.03.

The Assigned Title IX Coordinator will also take steps, where necessary, to prevent the harassment of or Retaliation against the Complainant or third parties, such as informing them about how to report subsequent problems, following up with them to ensure that there are no subsequent problems, providing trainings for the school community, and providing Sexual Misconduct or other counseling for the Respondent. The Assigned Title IX Coordinator will also, where appropriate, take steps to prevent the harassment of the Respondent.

Furthermore, the Assigned Title IX Coordinator will take prompt corrective action if the Complainant experiences Retaliation or is subjected to further Sexual Misconduct or if the original sanctions imposed on the Respondent are ineffective to protect the safety and well-being of the Complainant or other members of the Seminary community. In taking the above-outlined steps, the Assigned Title IX Coordinator will make every reasonable effort to minimize the burden on the Complainant.

[This policy continues on the next page.]

ARTICLE VIII. APPEALS

Section 8.01 Appealing the Closure of a Complaint Prior to Adjudication.

The Complainant may appeal the Assigned Title IX Coordinator's decision to close the Complaint by submitting a written appeal to the President of the Seminary (and providing a copy of the appeal to the Assigned Title IX Coordinator) within five business days of receipt of the decision. The Assigned Title IX Coordinator will promptly inform the other party of the appeal.

Within 15 business days following receipt of the appeal, the President will make a determination as to (1) whether the Complaint should proceed or the Assigned Title IX Coordinator's decision to close the Complaint should stand and (2) whether any additional or different remedial action is necessary. The President will notify the Complainant and the Respondent concurrently of his or her decision.

Section 8.02 Appealing the Results of Adjudication.

The Complainant and/or the Respondent may appeal (a) the decision of the Sexual Misconduct Panel regarding responsibility and/or (b) the sanction imposed on the Respondent. The decision of the Sexual Misconduct Panel and the sanction imposed on the Respondent may, if desired, be appealed simultaneously.

(a) Grounds.

- (i) **Appealing a Finding of "Responsible" or "Not Responsible."** The Sexual Misconduct Panel's finding of responsibility (i.e., whether the Respondent was found "Responsible" or "Not Responsible") may be appealed on the following grounds:
 - 1) Procedural errors during the formal adjudication process substantially affected the outcome of the process.
 - 2) There is newly discovered, relevant information that was not reasonably available at the time of the applicable interview and that would have substantially affected the outcome of the formal adjudication process.
- (ii) **Appealing Sanctions Imposed on the Respondent.** The sanctions imposed on the Respondent may be appealed on grounds that the severity of the sanction imposed is extraordinarily disproportionate to the gravity of the Sexual Misconduct for which the Respondent was found responsible.

(b) Process.

- (i) **Filing an Appeal.** Appeals must be made in writing within fourteen calendar days from the date of the Sexual Misconduct Panel's notice of outcome letter to (a) the Seminary President or (b) if the Respondent is a member of the faculty or the Executive Staff of the President, to the Chair of the Board of Trustees, who will refer the matter to the Executive Committee of the Board of Trustees (the "Executive Committee") (in either case, providing a copy of the appeal to the Assigned Title IX Coordinator). The appeal must state the reason(s) for the appeal (from among those listed above), the facts supporting the appeal, and the recommended way to correct the error. The Assigned Title IX Coordinator will promptly inform the other party (i.e., the Complainant or the Respondent) of the filing of the appeal.
- (ii) **File Review.** The President (or, if applicable, the Executive Committee) will review the Complaint file (which includes but is not limited to the Complaint, the

Investigative Report, the parties' written statements, and the recordings of the interviews) and will make an official decision based on this review.

(iii) Decision.

1) Regarding Responsibility. The President (or, if applicable, the Executive Committee) will determine whether the Sexual Misconduct Panel's determination regarding responsibility should be affirmed or reversed. If President (or, if applicable, the Executive Committee) determines that the decision of the Sexual Misconduct Panel should be reversed, the President (or, if applicable, the Executive Committee) will specify, after consultation with the Assigned Title IX Coordinator and other Seminary administrators, as necessary, the appropriate steps to come to a final resolution of the Complaint.

2) Regarding Sanctions. The President (or, if applicable, the Executive Committee) may recommend that the Sexual Misconduct Panel's determination regarding sanctions be affirmed or overturned. If the President (or, if applicable, the Executive Committee) determines that the sanctioning decision of the Sexual Misconduct Panel should be overturned, he, she, or it either will determine the final sanctions to be imposed on the Respondent, which will not be subject to further appeal, or will direct that another interview (or interviews) will be convened before the Sexual Misconduct Panel for the sole purpose of considering sanctions, in which case the final sanctions set by the Sexual Misconduct Panel and approved by the Assigned Title IX Coordinator will not be subject to further appeal.

(iv) Notification. Within 15 business days of receipt of the appeal, the President (or, if applicable, the Executive Committee) will communicate his, her, or its final decision regarding the appeal to the Complainant and the Respondent concurrently and in writing.

[Exhibits to this Policy follow.]

EXHIBIT A

TO THE UNION PRESBYTERIAN SEMINARY SEXUAL MISCONDUCT POLICY

Suggested Actions for Victims of Sexual Assault

While all types of Sexual Misconduct are inappropriate and taken seriously by the Seminary, actions involving Sexual Assault (as defined in Exhibit B) are particularly concerning. Thus, if you are the victim of a Sexual Assault, the Seminary's first priority is to help you take steps to address your safety, medical needs, and emotional well-being. You are encouraged to take the following actions, as applicable, regardless of whether you have made a decision about whether to pursue criminal or Seminary disciplinary charges.

1. Ensure Your Physical Safety.

You may seek help from **local law enforcement agencies**. If you are in Richmond, you may also contact the **Union Presbyterian Seminary Campus Police Department**. The Campus Police Department can assist you with contacting local law enforcement and can help you obtain transportation to the local law enforcement office. Campus police are on duty at the Campus Police Department from 5:00 p.m. until 5:00 a.m., seven days a week.

2. Seek Medical Assistance and Treatment.

Local hospitals can provide medical care. It is crucial that you obtain medical attention as soon as possible after a Sexual Assault to determine the possibilities of physical injury and to prevent or treat sexually transmitted diseases (such as HIV). Medical facilities can also screen for the presence of sedative drugs such as Rohypnol or GHB (date-rape drugs).

Employees at the Seminary can help you obtain transportation to a local hospital and can help you contact a support person, such as a family member, a friend or roommate.

If you choose to have an evidence collection kit (or "rape kit") completed, it is important to do so within 72 hours. Even if you have not decided to file charges, it is advisable to have the evidence collection kit completed so that you can preserve the options of obtaining a protective order and/or filing criminal charges at a later date. **Local hospitals** administer evidence collection kits.

In order to best preserve evidence for an evidence collection kit, it may be advisable to avoid showering, bathing, going to the bathroom or brushing your teeth before the kit is completed. You

Important Contact Information

RICHMOND CAMPUS

Seminary Resources

The Seminary's **Title IX Coordinator** is Mr. Michael B. Cashwell, whose office is in Suite 112 of Watts Hall (3401 Brook Road). Mr. Cashwell may be contacted during business hours (Monday through Friday, 8:30 a.m. to 5:00 p.m.) by phone at 804-278-4205 or by email at mcashwell@upsem.edu.

The **Union Presbyterian Seminary Campus Police Department** is located in W.S. Morton Library, Room 102 at 3406 Chamberlayne Avenue and is available by phone at 804-278-HELP. Seminary Police Officers are available from 5:00 p.m. until 5:00 a.m., seven days a week.

The **Union Presbyterian Seminary Academic Dean** is located in Watts Hall, Office #104 (3401 Brook Road) and is available by phone at 804-278-4230. The Academic Dean is available from 8:30 a.m. to 5:00 p.m. Monday through Friday.

The **Union Presbyterian Seminary Human Resources Office** is located in Suite 112, Watts Hall (3401 Brook Road) and is available by phone at 804-278-4202. The office is staffed from 8:30 a.m. to 5:00 p.m. Monday through Friday.

Community Resources

Local Law Enforcement Agencies can be reached by calling 911 or, for non-emergencies, 804-646-5100.

Local Hospitals:

- **Retreat Doctor's Hospital:**
2621 Grove Avenue (804-254-5100).
- **VCU Main Hospital:**
1250 East Marshall (804-828-9000).
- **Bon Secours St. Mary's Hospital:**
5801 Bremono Road (804-285-2011).
- **Henrico Doctor's Hospital:**
1602 Skipworth Road (804-289-4500).

The **Family Education Center**, a local counseling service, is located at 5403 Chamberlayne Avenue in Richmond and is available by phone at 804-261-7979.

The **YWCA of Richmond** is a nonprofit organization offering free, confidential services including a 24-hour hotline, therapeutic services, and medical and legal advocacy. It is located at 6 North 5th Street in Richmond. Its non-emergency number is 804-643-6761 and its **24-hour hotline is 804-612-6126**. Its website is <http://ywcarrichmond.org>.

should also wear (or take with you in a paper – not plastic – bag) to the hospital the same clothing that you were wearing during the assault. An evidence collection kit can still be completed even if you have showered or bathed.

3. Obtain Information / Report Misconduct

You are encouraged to report incidents of Sexual Assault to the Seminary's Title IX Coordinator or other designated Seminary individuals or offices as outlined in the Sexual Misconduct Policy (even if you have filed a report directly with law enforcement). Further information about how to report Sexual Assault is provided in the body of the Union Presbyterian Seminary Sexual Misconduct Policy. Seminary personnel can help you access resources and can provide you with support and information, including information on the Seminary's procedures for investigating and addressing instances of Sexual Assault.

Important Contact Information

CHARLOTTE CAMPUS

Seminary Resources

The Seminary's **Title IX Coordinator** is Mr. Michael B. Cashwell. Mr. Cashwell may be contacted during business hours (Monday through Friday, 8:30 a.m. to 5:00 p.m.) by phone at 804-278-4205 or by email at mcashwell@upsem.edu.

The Seminary's **Deputy Title IX Coordinator for the Charlotte Campus** is Mr. Richard Boyce, whose office is at 5141 Sharon Road in Charlotte. Mr. Boyce may be contacted during business hours (Monday through Friday, 8:30 a.m. to 5:00 p.m.) by phone at 980-636-1700 or by email at rboyce@upsem.edu.

The **Union Presbyterian Seminary Academic Dean** is available by phone at 804-636-1700 from 8:30 a.m. to 5:00 p.m. Monday through Friday.

The **Union Presbyterian Seminary Human Resources Office** is available by phone at 804-278-4202 from 8:30 a.m. to 5:00 p.m. Monday through Friday.

Community Resources

Local Law Enforcement Agencies can be reached by calling 911 or, for non-emergencies, 704-336-7600.

Local Hospitals:

- **Presbyterian Medical Center:**
200 Hawthorne Lane (704-384-4000).
- **Carolinas Medical Center:**
1000 Blythe Boulevard (704-355-2000).

The **Presbyterian Samaritan Counseling Center** is located at 5203 Sharon Road in Charlotte and is available by phone at 704-554-9900.

Safe Alliance is a nonprofit organization offering free, confidential services including a 24-hour hotline, counseling, hospital accompaniment, and legal advocacy. It is located at 601 East Fifth Street in Charlotte. Its non-emergency number is 704-332-9034 and its **24/7 Mecklenburg County Rape Crisis Hotline is 704-375-9900**. Its website is www.safealliance.org.

EXHIBIT B
to the
UNION PRESBYTERIAN SEMINARY SEXUAL MISCONDUCT POLICY

DEFINITIONS

- (a) **Assigned Title IX Coordinator.** The “Assigned Title IX Coordinator” means either the Title IX Coordinator or the Deputy Title IX Coordinator assigned by the Title IX Coordinator or President to handle a given Complaint.
- (b) **Complainant.** A “Complainant” is an alleged victim of Sexual Misconduct who files a Complaint or on whose behalf a Complaint is filed.
- (c) **Complaint.** A “Complaint” is an allegation of Sexual Misconduct asserted against another party and initiated pursuant to this Policy.
- (d) **Consent.** “Consent” is informed, freely and actively given, and mutually understandable words or actions that indicate a willingness to participate in mutually agreed-upon sexual activity.

Consent is *mutually understandable* when a reasonable person would consider the words or actions of the parties to have manifested a clear and unambiguous agreement between them to engage in certain conduct with each other.

Consent is not *freely given* (and therefore not effective) if it is obtained through the use of physical force, violence, duress, deception, intimidation, coercion or the threat, expressed or implied, of bodily injury. Whether a party used one of these methods to obtain Consent will be determined by reference to the perception of a reasonable person found in the same or similar circumstances.

Consent cannot be gained by ignoring or acting in spite of the objections of another.

Consent cannot be inferred from:

- (i) Silence, passivity, or lack of resistance alone;
- (ii) A current or previous dating or sexual relationship alone (or the existence of such a relationship with anyone else);
- (iii) Attire;
- (iv) The buying of dinner or the spending of money on a date; or
- (v) Consent previously given (to the same sexual act or another).

Consent may never be given by:

- 1) Minors, even if the other participant did not know the minor’s age;
- 2) Mentally disabled persons, if their disability was reasonably knowable to a sexual partner who is not mentally disabled; or
- 3) Persons who are Incapacitated.

The use of alcohol or drugs does not diminish one's responsibility to obtain Consent and does not excuse conduct that constitutes Sexual Misconduct under this Policy.

If at any time during a sexual act any confusion or ambiguity is or should reasonably be apparent on the issue of Consent, it is incumbent upon each individual involved in the activity to stop and clarify

the other's willingness to continue and capacity to Consent. Neither party should make assumptions about the other's willingness to continue.

- (e) **Dating Violence.** "Dating Violence" means violence committed by a person who is or has been in a social relationship of a romantic or intimate nature with the victim. The existence of such a relationship shall be determined based on the Complainant's statement and with consideration of the length of the relationship, the type of relationship, and the frequency of interaction between the persons involved in the relationship. Dating Violence includes, but is not limited to, sexual or physical abuse or the threat of such abuse. Dating Violence does not include acts covered under the definition of Domestic Violence.
- (f) **Day.** A "day" is a business day or calendar day, as specified in each instance by this Policy. In the case of a calendar day specified by this Policy that falls on a Saturday, Sunday, or other day on which the Seminary is closed, then the calendar day specified will be interpreted to mean the immediately preceding business day (whether or not classes are in session).
- (g) **Deputy Title IX Coordinators.** The Seminary's "Deputy Title IX Coordinators" are:
 - (i) Dennis Johnson, Assistant Vice President of Operations. **Mr. Johnson is the Deputy Title IX Coordinator for the Seminary's Richmond campus.** Mr. Johnson's office is located in Suite 110, Watts Hall, 3401 Brook Road in Richmond. Mr. Johnson may be contacted by phone at 804-278-4274 or by email at djohnson@upsem.edu from 8:30 a.m. to 5:00 p.m., Monday through Friday.
 - (ii) Richard Boyce, Associate Professor of Preaching and Pastoral Leadership. **Mr. Boyce is the Deputy Title IX Coordinator for the Seminary's Charlotte campus.** Mr. Boyce's office is located at 5141 Sharon Road in Charlotte. Mr. Boyce may be contacted by phone at 980-636-1700 or by email at rboyce@upsem.edu from 8:30 a.m. to 5:00 p.m., Monday through Friday.

The Deputy Title IX Coordinators work under the oversight of the Title IX Coordinator to assist with the handling of Title IX-related Complaints.

The Title IX Coordinator may, at his or her discretion, assign a Deputy Title IX Coordinator as the Assigned Title IX Coordinator in connection with a given Complaint. Generally, the Title IX Coordinator will assign the Deputy Title IX Coordinator for the Charlotte campus as the Assigned Title IX Coordinator for complaints involving Students matriculated at the Charlotte campus.

- (h) **Domestic Violence.** "Domestic Violence" includes felony or misdemeanor crimes of violence committed by a current or former spouse of the victim, by a person with whom the victim shares a child in common, by a person who is cohabiting with or has cohabited with the victim as a spouse or intimate partner, by a person similarly situated to a spouse of the victim under the domestic or family violence laws of the Commonwealth of Virginia or the State of North Carolina, as applicable, or by any other person against an adult or youth victim who is protected from that person's acts under the domestic or family violence laws of the Commonwealth of Virginia or the State of North Carolina, as applicable.
- (i) **Education Record.** "Education Record" has the meaning assigned to it under FERPA.
- (j) **FERPA.** The Family Educational Rights and Privacy Act ("FERPA") is a federal statute codified at 20 U.S.C. § 1232g, with implementing regulations at 34 C.F.R. Part 99. FERPA protects the privacy of student Education Records. FERPA grants to eligible students the right to access, inspect, and review Education Records, the right to challenge the content of Education Records, and the right to consent to the disclosure of Education Records.

- (k) **Incapacitated.** “Incapacitated” means lacking the physical and/or mental ability to make informed, rational judgments. A person may be Incapacitated for a variety of reasons, including but not limited to being asleep or unconscious, having consumed alcohol or taken drugs, or experiencing blackouts or flashbacks.
- (l) **Investigative Report.** “Investigative Report” is defined in Section 5.04(c).
- (m) **Investigator.** The “Investigator” is the person designated by the Assigned Title IX Coordinator to investigate a Complaint pursuant to Section 5.04. The Investigator will be trained annually on (1) reasonable and appropriate investigative techniques, (2) issues related to Dating Violence, Domestic Violence, Sexual Assault, and Stalking, and (3) how to conduct an investigation that protects the safety of victims and promotes accountability.
- (n) **Material Sexual Misconduct.** “Material Sexual Misconduct” is Sexual Misconduct that, taking into account the totality of the circumstances, is sufficiently serious and significant to warrant adjudication under, and discipline pursuant to, this Policy. Specifically, to determine whether Sexual Misconduct rises to the level of Material Sexual Misconduct, consideration will be given to the following criteria: (1) the type, frequency and duration of the conduct (the more severe the conduct, the less the need to show a repetitive series of incidents, particularly if the conduct is physical), (2) the identity of and relationship between the alleged harasser and the alleged victim, (3) the number of individuals involved, (4) the age and sex of the alleged harasser and the alleged victim, (5) the location of the incidents and the context in which they occurred, and (6) whether there have been similar incidents.
- (o) **Personally Identifiable Information.** “Personally Identifiable Information” (as that term is defined by FERPA) includes, but is not limited to:
- (i) a student's name;
 - (ii) the name of a student's parent(s) or other family members;
 - (iii) the address of a student or a student's family;
 - (iv) a personal identifier, such as a student's social security number, student number, or biometric record;
 - (v) other indirect identifiers, such as a student's date of birth, place of birth, or mother's maiden name;
 - (vi) other information that, alone or in combination, is linked or linkable to a specific student and that would allow a reasonable person in the Seminary community, who does not have personal knowledge of the relevant circumstances, to identify the student with reasonable certainty; or
 - (vii) Information requested by a person whom the Seminary reasonably believes knows the identity of the student to whom the Education Record relates.
- (p) **Rape.** “Rape” is the penetration, no matter how slight, of the vagina or anus with any body part or object, or oral penetration by a sex organ of another person, without the Consent of the victim.
- (q) **Respondent.** A “Respondent” is an individual who has been accused in a Complaint of committing Sexual Misconduct.
- (r) **Responsible Employee.** “Responsible Employee” is defined in Section 2.02(b).
- (s) **Retaliation.** “Retaliation” means any adverse action threatened or taken against a person because he or she has filed, supported, or provided information in connection with a Complaint of Sexual Misconduct, including but not limited to direct and indirect intimidation, threats, and harassment.

- (t) **Review Committee.** "Review Committee" means a committee established by the Seminary to review and obtain information related to reports of Sexual Misconduct. The Review Committee is comprised of at least three members, including but not limited to the Title IX Coordinator, a representative from the office of Student Life, and a representative from Campus Police. The Title IX Coordinator will promptly inform the Review Committee of all allegations of Sexual Misconduct, and the Review Committee will meet, no later than 72 hours after receiving notice from the Title IX Coordinator, to review the allegations. The Assigned Title IX Coordinator also will consult with the members of the Review Committee as outlined in the Policy.
- (u) **Sexual Assault.** "Sexual Assault" means any actual, attempted, or threatened sexual act with another person without that person's Consent. By way of example and not limitation, Sexual Assault includes:
- (i) Fondling (the touching of the private body parts of another person for the purpose of sexual gratification, without the Consent of the victim, including instances in which the victim is incapable of giving Consent because of his or her age or because he or she is temporarily or permanently Incapacitated),
 - (ii) Incest (sexual intercourse between persons who are related to each other within degrees wherein marriage is prohibited by Virginia law),
 - (iii) Statutory Rape (sexual intercourse with an individual under the statutory age of consent, as defined by Virginia law), and
 - (iv) Rape.
- (v) **Sexual Exploitation.** "Sexual Exploitation" means any act of taking non-Consensual, unjust or abusive sexual advantage of another person for one's own advantage or benefit or to benefit or advantage anyone other than the person being exploited. Sexual Exploitation includes, but is not limited to:
- (i) Causing or attempting to cause another person to be Incapacitated in order to gain a sexual advantage over such person;
 - (ii) Prostituting another person (i.e., personally gaining money, privilege or power from the sexual activities of another);
 - (iii) Non-Consensual videotaping, photographing, or audio-taping of sexual activity and/or distribution of these materials via media such as, but not limited to, the Internet;
 - (iv) Exceeding the boundaries of Consent (e.g., allowing another person to observe Consensual sex without the knowledge of or Consent from all participants);
 - (v) Voyeurism; and
 - (vi) Knowingly or recklessly transmitting a sexually transmitted disease (including HIV) to another individual.
- (w) **Sexual Harassment.** "Sexual Harassment" is any unwelcome verbal, nonverbal, written, electronic or physical conduct of a sexual nature. Examples of Sexual Harassment include instances in which:
- (i) Submission or consent to the behavior is reasonably believed to carry consequences for the individual's education, employment, on-campus living environment, or participation in a Seminary activity. Examples of this type of sexual harassment include:
 - 1) pressuring an individual to engage in sexual behavior for some educational or employment benefit, or
 - 2) making a real or perceived threat that rejecting sexual behavior will carry a negative educational or employment consequence for the individual.
 - (ii) The behavior is so severe or pervasive that it has the effect of substantially interfering with the individual's work or educational performance by creating an intimidating, hostile, or

demeaning environment for employment, education, on-campus living, or participation in a Seminary activity. Examples of this type of sexual harassment include:

- 1) one or more instances of Sexual Assault;
- 2) persistent unwelcome efforts to develop a romantic or sexual relationship;
- 3) unwelcome sexual advances or requests for sexual favors;
- 4) unwelcome commentary about an individual's body or sexual activities;
- 5) repeated and unwelcome sexually-oriented teasing, joking, or flirting; and
- 6) verbal abuse of a sexual nature.

Sexual Harassment also includes acts of intimidation, bullying, aggression or hostility based on gender or gender-stereotyping, even if the acts do not involve conduct of a sexual nature.

(x) Sexual Intimidation. "Sexual Intimidation" includes but is not limited to:

- (i) Threatening, expressly or impliedly, to commit a sexual act upon another person without his or her Consent; and
- (ii) Engaging in indecent exposure (i.e., intentionally exposing one's sexual organs in public) with the intention of alarming, distressing, and/or offending others.

(y) Sexual Misconduct. "Sexual Misconduct" means any unwelcome conduct of a sexual nature, including any conduct or act of a sexual nature perpetrated against an individual without Consent. Sexual Misconduct can occur between strangers or acquaintances, including people involved in an intimate or sexual relationship. Sexual Misconduct can be committed by men or by women, and it can occur between people of the same or different sex. The Seminary encourages reporting of all Sexual Misconduct. Sexual Misconduct includes but is not limited to:

- (i) Dating Violence;
- (ii) Domestic Violence;
- (iii) Sexual Assault;
- (iv) Sexual Exploitation;
- (v) Sexual Harassment;
- (vi) Sexual Intimidation; and
- (vii) Stalking.

(z) Sexual Misconduct Panel. "Sexual Misconduct Panel" is defined in Section 6.02(b)(i)(1). The Sexual Misconduct Panel will receive annual training on (1) issues related to Dating Violence, Domestic Violence, Sexual Assault, and Stalking, and (2) how to conduct a hearing process that protects the safety of victims and promotes accountability.

(aa) Stalking. "Stalking" means engaging in a course of conduct directed at a specific person that would cause a reasonable person to:

- (i) Fear for his or her safety or the safety of others;
- (ii) Suffer substantial emotional distress;

For purposes of this definition, "course of conduct" means two or more acts, including, but not limited to, acts in which the stalker directly, indirectly, or through third parties, by any action, method, device, or means, follows, monitors, observes, surveils, threatens, or communicates to or about a person, or interferes with a person's property; "substantial emotional distress" means significant mental suffering or anguish that may, but does not necessarily, require medical or other professional treatment or counseling; and "reasonable person" means a reasonable person under similar circumstances and with similar identities to the victim.

(bb) Strictly Confidential Resource. “Strictly Confidential Resource” is defined in Section 3.01(a).

(cc) Title IX Coordinator. The name of, and contact information for, the Seminary’s “Title IX Coordinator” are listed in Exhibit A to this Policy.

The Seminary’s Title IX Coordinator has ultimate oversight responsibility for handling Title IX-related complaints and for identifying and addressing any patterns or systemic problems involving Sexual Misconduct. The Title IX Coordinator is available to meet with individuals who are involved with or concerned about issues or Seminary processes, incidents, patterns or problems related to Sexual Misconduct on campus or in Seminary programs. All allegations involving Sexual Misconduct should be directed to the Title IX Coordinator or other designated Seminary individuals or offices as outlined in this Sexual Misconduct Policy.

The Title IX Coordinator will receive regular professional training in resolution practices and procedures. More specifically, the Title IX Coordinator will receive annual training on (1) issues related to Dating Violence, Domestic Violence, Sexual Assault, and Stalking, and (2) how to conduct a resolution process that protects the safety of victims and promotes accountability.

EXHIBIT C
to the
UNION PRESBYTERIAN SEMINARY SEXUAL MISCONDUCT POLICY

SEXUAL MISCONDUCT COMPLAINT FORM

Today's date: _____

Information Regarding the Complainant:

Name of the Complainant: _____

Complainant's Phone Number: _____

The Complainant is (please check one):
☐ a faculty member ☐ a student
☐ a staff member ☐ not affiliated with the Seminary

For faculty, staff, & students, indicate whether ☐ current or ☐ former

Information Regarding the Respondent:

Name of the Respondent: _____

The Respondent is (please check one):
☐ a faculty member ☐ a student
☐ a staff member ☐ not affiliated with the Seminary

For faculty, staff, & students, indicate whether ☐ current or ☐ former

Information Regarding the Alleged Sexual Misconduct:

Time and date of the alleged Sexual Misconduct: _____

Location of the alleged Sexual Misconduct:

☐ on campus: _____

☐ off campus: _____

Witnesses or third parties who may have information regarding the alleged Sexual Misconduct:

Please provide a brief description of the alleged Sexual Misconduct:

You may wish to consider including, among other things, some or all of the following information in your description: the gender of the parties, the relationship between the parties, whether one or more of the parties were under the influence of alcohol or drugs at the time of the alleged Sexual Misconduct, whether the Respondent used pressure or force (physical or otherwise) in the course of the alleged Sexual Misconduct, and the frequency (if applicable) of the alleged Sexual Misconduct.

Please feel free to use the reverse side of this form or separate pages to continue your description, if desired.

Signature of the Complainant: _____

**Union Presbyterian Seminary
Richmond Campus
Skype Room Use Guidelines**

The Student Life Office created a private Skype room in Watts Hall, room 405, to give faculty members the opportunity to conduct online video interviews with prospective students applying for admission who live at a distance from campus. In connection with this department, the Supervised Ministry and Vocational Planning Office also recommends current students use the Skype office as needed for interviews and conference calls with churches located outside the Richmond area. The guidelines below set forth expectations from both offices for effective use of the Skype room. Questions may be directed to Tanya Wineland.

Room Availability

Watts Hall, room 405 is available for use with advance notice between the hours of 8:30 a.m. and 5 p.m., Monday through Friday. Week day evening use is permitted until 9:00 p.m. The building can be accessed after hours with a campus key via the north doors toward Westminster Hall or the south doors towards the Early Center.

How to Schedule

Tanya Wineland coordinates all Skype room use. Room reservations should be emailed to her in order to confirm availability. In addition to managing the room's calendar, Tanya also communicates all requests to the Security, Physical Plant, and Facilities Management offices. It is suggested that faculty and students use their personal Skype accounts to communicate. However, the Student Life Office does have one you may use. Please let Tanya know if you would like access to it.

Room Use

- Arrive early for your appointment to make sure the room is unlocked and ready for use. Should you come in to find the computer turned off, it may take up to 10 minutes to warm up for use.
- Room temperature is controlled by the individual units. Adjust the hand dial at the back of the corner floor unit to warm the room, or turn on the window unit for cooler air. During warmer months it is better to run the window unit for a time, and then switch off beforehand as it will be too loud to run during a session. Please note that the temperature box near the light switch is not operable.
- The telephone number to the Skype room is (804) 278-4226. Only outbound local calls may be made from the room telephone, unless you have a long distance dialing pass code. If you do not have a long distance code, request the individual(s) you are connecting with contact you instead.
- At the end of your session, make sure to leave the Skype room computer on for the next person.

Intentionally Left Blank

SMOKING POLICY

Approved by ESP

June 2, 2015

Union Presbyterian Seminary recognizes the serious health implications of both direct use of tobacco products and indirect exposure to the use of tobacco products. The use of tobacco products is prohibited in all seminary buildings and on seminary property, except in the following designated smoking areas where smoking receptacles are available:

- northeast corner of campus between Morton Library, Thompson Hall, and Moore Hall
- northwest corner of campus between Watts Hall, Richmond Hall, and Westminster Hall
- southside of campus between Advancement, Technology Services, Johnson Hall, and the Early Center

Since 2013, smoking has been prohibited in all student residential facilities. As leases prior to 2013 are renewed, the smoking prohibition will be included in the new leases.

Prohibited tobacco-related products include cigarettes, cigars, pipes, all forms of smokeless tobacco, smoking devices such as hookahs, and electronic cigarettes.

Compliance with this policy is the responsibility of all members of the UPSem community. Members of the community are invited to assist in the implementation of this policy by respectfully informing tobacco users of this policy. Visitors to campus are expected to comply with this policy.

Repeated violations of this policy may result in disciplinary action. Responsibility for disciplinary action rests with the Vice President for Finance and Administration.

Intentionally Left Blank

Communal Expectations for Social Media at Union Presbyterian Seminary

Martin Luther King, Jr, claimed that humanity is caught “...in an inescapable network of mutuality, tied in a single garment of destiny. Whatever affects one directly affects all indirectly. I can never be what I ought to be until you are what you ought to be. And you can never be what you ought to be until I am what I ought to be. This is the interrelated structure of reality.”

The way we communicate has changed and become more interrelated. Union Presbyterian Seminary acknowledges the transformed landscape, seeks to utilize technological resources in the service of Christ's Church, but at the same time we recognize the risks posed by social media for our life together. Accordingly, we adopt the following communal expectations:

- 1 Responsibility: the different social media platforms provide opportunities for broad communication, and they allow for both creativity and lively interchange. Free speech is critically important, on these and other forums. Yet platforms like Facebook are very public forums, and community members can have absolutely no expectation of privacy. By posting inappropriate content, students, faculty, and staff expose themselves and others to a variety of repercussions, including potential harassment and damage to future employment possibilities. A helpful guideline for Facebook and other social media is the responsibility to behave in one's interests not only for today, but also for who and what one wants to be tomorrow. Community members should also remember their personal safety and the safety of others when posting comments. All Facebook users are urged to check their privacy settings on the site and stay abreast of privacy policy changes made by Facebook.
- 2 Social Media and Seminary Events: Facebook is not the official communications mechanism of the school. Community members are encouraged to publicize events and build community on Facebook, but such efforts should be in conjunction with other established protocols. The reservation of space for official meetings or other special events has to occur through proper channels, and all events still need to be placed on the Union Presbyterian Seminary Master Calendar (available via Microsoft Outlook). In addition, many members of the Union community do not use some of the newer forms of social media, and all necessary efforts should be taken to inform them of community events.
- 3 Official seminary business: Students, faculty, staff, and alumni should take care not to imply that they are speaking in the name of the seminary when making posts or commenting on seminary affairs. The seminary logo may not be used on Twitter or Facebook without the permission of the communications office.
- 4 Classroom etiquette: Union Presbyterian Seminary acknowledges the sacred precinct of the classroom, where much of our discourse as a community occurs. We recognize the importance of face-to-face interaction for learning and the need for mutual respect among professors and students. Facebooking, Tweeting, text-messaging, and other related activities during official class time are disrespectful and distracting to the learning process and are therefore unacceptable.

Intentionally Left Blank

STUDENT MISCONDUCT POLICY UNION PRESBYTERIAN SEMINARY

INTRODUCTION

Union Presbyterian Seminary regards a supportive community and a high quality of life as essential to its character as an educational institution preparing men and women for service in the Christian church. In keeping with that character, the Seminary is committed to nurturing, maintaining, and strengthening an environment founded on honesty, integrity, civility, and respect.

STATEMENT OF PURPOSE

The purpose of this policy is (a) to articulate standards of personal behavior for students of Union Presbyterian Seminary, (b) to provide guidelines for the investigation of allegations of personal misconduct, and (c) to identify a range of appropriate consequences for persons who engage in personal misconduct, as defined by this policy.

The effective date for this policy is January 22, 2015. The policy does not apply to personal misconduct that has been investigated prior to such date.

Additionally, this policy does not apply to occurrences or allegations of sexual misconduct since there is a distinct policy that describes prohibited sexual misconduct and establishes procedures for responding to complaints of sexual misconduct. This policy is available on the Seminary's website and from the Title IX Coordinator.

DEFINITIONS

Personal misconduct, in this policy, is defined in relation to non-academic behavior at the Seminary. Allegations and incidents of academic misconduct, such as plagiarism, have distinct policies that may be found in the *Policies and Procedures Booklet*.

This policy, therefore, focuses on matters of ***personal integrity***. Students at the Seminary are expected to conduct themselves in ways that are aligned with the Seminary's norms and standards as they are outlined in the *Policies and Procedures Booklet*. These norms and standards support the Seminary's efforts to nurture, maintain, and strengthen an environment founded on honesty, integrity, civility, and respect.

As such, students must refrain from disruptive behavior that disregards the needs and rights of others to pursue study, work, family life, and friendships in the community.

Some examples of behavior that reflect a breach of our Seminary's norms and standards and constitute personal misconduct are:

- Discriminating against others on the basis of race, national origin, ethnicity, sex, religion, color, creed, disability, sexual orientation, marital status, or age.
- Harassing, intimidating, or bullying another person
- Causing physical injury to, or threatening another person
- Disrupting the peaceful or orderly conduct of lectures, meetings, and worship services led or sponsored by those with whom one may disagree
- Disrupting the peaceful or orderly living spaces for those living in campus housing
- Stealing or vandalizing property
- Plagiarizing the materials of other persons in non-academic settings, such as in leading worship on campus
- Possessing firearms, explosives, or other dangerous weapons on campus property
- Engaging in any form of criminal conduct
- Bringing complaints against a community member that are spurious, or that are intended primarily to harass or maliciously defame another person

Additional examples that pertain to personal behavior may be found in other policies of Union Presbyterian Seminary.

GUIDING PRINCIPLES

Serious treatment of incidents and allegations of personal misconduct

Incidents and allegations of personal misconduct will be taken seriously at Union Presbyterian Seminary. All persons involved will be treated with respect in the seminary's response to incidents and allegations of personal misconduct.

Procedural integrity

If an incident occurs, or if an allegation is made, the response of Union Presbyterian Seminary will be prompt. All responses will be undertaken with sensitivity to all parties involved in or affected by the personal misconduct.

In response to an allegation of personal misconduct, the goal of Union Presbyterian Seminary will be to determine the truth as far as is humanly possible. Those charged with responding on behalf of the institution in the pursuit of truth shall do so with care for persons and for processes, and be guided by prayer for discernment and guidance.

Union Presbyterian Seminary will not tolerate any retaliation against any person for making an allegation of personal misconduct or any retaliation against anyone for participating in any investigation of an allegation. All members of the community are

expected to cooperate in this investigation procedure. Any member of the community who knowingly provides false or misleading information will be subject to disciplinary action.

Confidentiality

Any allegation of personal misconduct will be held in confidence by all persons involved, and the information will be disclosed only on a need to know basis to investigate and resolve the matter.

Relation of Personal Misconduct to Legal Authorities

Because personal misconduct may in some instances constitute both a violation of Seminary norms and standards and criminal activity, and because the Seminary's response to incidents and allegations of personal misconduct is not a substitute for instituting legal action, the Seminary encourages individuals to report alleged personal misconduct of a criminal nature to campus officials and to law enforcement authorities, where appropriate.

Individuals may, however, choose to decline to report alleged personal misconduct of a criminal nature to campus officials and/or to law enforcement authorities. The Seminary respects and supports the individual's decision with respect to reporting; nevertheless, the Seminary may notify appropriate law enforcement authorities if required or warranted by the nature of the incidents or allegations at issue.

A criminal investigation into the matter does not preclude the Seminary from responding to an allegation of personal misconduct. However, the Seminary's response may be delayed temporarily while the criminal investigators are gathering evidence. In the event of such a delay, the Seminary may take interim measures when necessary to protect any alleged victims of personal misconduct and the Seminary community.

Neither the results of a criminal investigation nor the decision of law enforcement authorities to investigate or decline to investigate the matter is determinative of whether personal misconduct, for the purposes of this policy, has occurred.

GUIDELINES FOR RESPONDING TO AN ALLEGATION

Introduction

What follows is a general set of guidelines and a process by which Union Presbyterian Seminary will respond to an incident or allegation of personal misconduct. The Seminary does, however, reserve the right to modify the process outlined here, in order to respond appropriately to a particular case.

The Seminary anticipates and expects that many potential problems in the area of personal misconduct will be resolved by an informal response.

Informal Response

Whenever a member of the Seminary community alleges that the Seminary's norms and standards have been violated, as described in this policy, that member is urged first to communicate directly with the alleged offender in order to seek redress and reconciliation. If, due to the nature and severity of the alleged breach of personal conduct, an informal response is perceived to be unsuitable, the member should seek the intervention of an appropriate third party, noted in the following section on "Mediated Response."

Mediated Response

If an informal response fails to resolve an allegation of a violation of the Seminary's norms and standards, or if an informal response is perceived as unsuitable, due to the nature of the alleged breach of personal conduct, parties with allegations are urged to seek mediation as a means for redress and reconciliation by requesting assistance from the Vice President for Community Life and Dean of Students. This VP/Dean will select a mediator and inform the parties of the mediator selected to assist them with the resolution of their concerns.

If, after working with the parties, the mediator determines that mediation is not a viable option for a satisfactory resolution of the concern to all parties involved, the mediator will notify the VP/Dean and request that the matter be considered through a "Formal Response," as outlined in the following section.

Formal Response

If informal and mediatory efforts at redress and reconciliation of an alleged violation of the Seminary's norms and standards fail, or if the nature of the alleged breach of personal conduct is too serious for an informal response or a mediated response, a formal complaint should be sent to the Vice President for Student Life and Dean of Students. This complaint must be submitted in writing and signed by the member of the community filling the complaint. The VP/Dean will notify the alleged violators(s) within three (3) business days of receipt.

The VP/Dean, after consulting with members of the faculty and administration as she or he deems appropriate, will appoint a "Case" committee drawn from any full-time members of the faculty and staff to examine the allegation(s) and gather additional information pertaining to the allegation. This committee will designate a chairperson as it proceeds.

As appropriate, the "Case" committee, guided by the chair, will hold formal hearings in which each party will be invited to be heard by the committee. At these hearings, the

committee may request that persons with knowledge of behaviors pertaining to the complaint provide information as "witnesses." Attorneys for any of the parties, or for any "witnesses," may not be present during the formal hearing.

If any direct parties to the complaint choose not to appear before the "Case" committee, the committee will proceed with its hearing and consider all relevant information to which it has access. The chairperson of the "Case" committee will determine the procedure for the hearing including but not limited to:

- Who shall be asked to appear before the committee
- What information will be sought
- The manner in which questions will be asked for all who appear before the committee
- The amount of time spent on each matter
- Whether the conversation between the parties, witnesses, and members of the "Case" committee should be stopped at any time and for any reason

After the hearings have been concluded, the "Case" committee will deliberate the complaint of personal misconduct, with all of the information it has received in relation to the allegation.

If the "Case" committee determines that the information it receives is **insufficient** to sustain the complaint, it shall render its findings to the VP/Dean and recommend that the alleged offender be *exonerated*. The matter will be considered ended and no further action will be taken.

If the "Case" committee determines that the information it receives is **sufficient** to sustain the complaint, it shall render its findings to the VP/Dean and recommend appropriate outcomes. While it is not possible to identify all possible outcomes, the following listing offers a list of examples that may be considered by the "Case" committee:

- *Admonition/Warning*: The offending party is given a clear written description of the personal misconduct and the potential consequences of similar complaints in the future.
- *Referral to Ecclesiastical Authorities*: Appropriate officers in the denomination of the offending party are notified in writing of the misconduct and imposed sanctions, within FERPA guidelines.
- *Non-Academic Probation*: The offending party is barred from participation in the life of the seminary community, except for academic courses and supervised ministry experiences, for a specified period of time and under specified circumstances.

- *Suspension:* The offending party is barred from participation in the life of the seminary community, including academic courses and supervised ministry experiences, for a specified period of time and under specified circumstances.
- *Dismissal:* The offending party is permanently barred from participation in the life of the seminary community, including academic courses and supervised ministry experiences.

Upon recommendation of the "Case" committee, the Vice President for Student Life and Dean of Students may impose any of the following, or similar sanctions, upon the offending party:

- *Admonition/Warning*
- *Referral to Ecclesiastical Authorities*
- *Non-Academic Probation*

If the VP/Dean determines that the appropriate sanction is either suspension or dismissal, she or he shall make a recommendation to the faculty, in *executive session*. If the faculty concurs with the VP/Dean's recommendation, the sanction will be imposed. If the faculty does not concur, the VP/Dean may consider and impose lesser sanctions.

Once the sanction has been determined, the VP/Dean will notify the offending party of this decision, in writing.

APPEALS

Persons who are involved in the formal complaint process and are dissatisfied with the outcome are entitled to appeal the findings or the severity of the sanctions.

Persons must file a written and signed appeal to the President of Union Presbyterian Seminary within ten (10) business days of being notified of the outcomes. The appeal will be considered and acted upon before any penalty takes place, with the exception of possible interim measures to ensure the safety of members of the Seminary community.

The President of Union Presbyterian Seminary will confirm receipt of the appeal within three (3) business days of receipt. If the President is out of the office for an extended period of time, whether on seminary business or personal leave, this three-day period will not begin until he or she returns to the office.

The Seminary President will consider and act upon the appeal within ten (10) business days of receiving the appeal. If the President is out of the office for an extended period of time, whether on seminary business or personal leave, this ten-day period will not begin until he or she returns to the office.

The decision of the Seminary President is considered final.

RECORDS

All written materials pertaining to personal misconduct that is resolved through a process of mediation, or to complaints of personal misconduct that are sustained through a formal process, will be preserved in the student's file in the Registrar's Office in accordance with FERPA guidelines. These materials will include any appeals that are filed in relation to a formal decision, and the response to such appeals by the Seminary President.

Intentionally Left Blank

STUDENT WAGE EMPLOYMENT GUIDELINES

Generally, a student may not be employed for more than 20 hours per week in all Seminary jobs, not just those in a particular department. Students not enrolled in coursework during the summer may work 40 hours/week. Full-time students (27 credits per year or more) enrolled in a degree program are eligible to be employed as student employees. Please note this policy limitation on number of hours worked does not apply to students enrolled in the PhD program.

Subject to the guidelines below, hiring managers should prepare and submit a standard appointment form to the Business Office for approval and processing before any student employee begins work and then when any student worker's wages are proposed to be changed.

Hiring managers should also make clear to new student workers that, prior to beginning work, they need to visit the seminary business office to complete pre-employment paperwork, including presentation of valid forms of identification that meets federal I-9 requirements (<https://www.uscis.gov/i-9-central/acceptable-documents>.)

1. REQUESTS TO EXCEED MAXIMUM HOURS The dean of the school may give written approval for a student to work in excess of the 20- hour limit based upon the recommendation and assurance of the student's major advisor that progression toward the degree will not be adversely affected. Employment for international students must not exceed 20 hours a week while school is officially in session (see "Employment of International Students" below).

2. EMPLOYMENT OF INTERNATIONAL STUDENTS International students must have the appropriate and valid visa status and work authorization to engage in employment while enrolled at the Seminary. Based on federal guidelines, international students' employment must be performed on the school's premises. International students' employment, if on F-1 or J-1 status, must not exceed 20 hours a week while school is officially in session. No exemption from this policy can be granted. An international student with appropriate work permission (either through visa status, or work authorization granted by the USCIS) may, however, work on site full-time when school is not in session or during official Seminary holidays.

HOURLY WAGE PAYMENTS FOR STUDENT WORKERS The minimum and maximum rates are as follows:

Hourly Rate			Hours per Week
Minimum Starting Rate	Maximum Starting Rate, depending on experience	Maximum Rate including any annual increases*	Maximum
\$10.00	\$11.00	\$12.00	20 hours

* Annual increases for students will be considered each year within the context of the overall seminary budget and any wage adjustments budgeted for seminary faculty and staff. Student wage increases, if any, will most often be made in increments of \$0.25 per hour.

Starting wage in excess of the minimum detailed above should be based upon one or more of the following factors:

- a. Representing the Seminary to the PUBLIC
- b. Prior technical EXPERTISE or extensive TRAINING
- c. SECURITY of buildings
- d. High degree of RESPONSIBILITY or PERSONAL INITIATIVE beyond what a similar position would normally require.

Policy about Students with Learning Disabilities

Adopted by the Faculty, September 7, 1988, and reaffirmed February 1998; revised April 2009.

This policy is designed to enhance the educational environment for learning disabled students who show promise for effective ministry and to provide information that will help learning disabled students evaluate the feasibility of studying at Union Presbyterian Seminary.

General Policy

A student seeking special accommodations to help compensate for a learning disability must make a declaration of such disability and provide adequate documentation of the disability at least four weeks prior to matriculation. The declaration and supporting documentation should be hand-delivered or sent by registered mail to the associate dean for academic programs, for all Richmond students, or to the dean of Union Presbyterian Seminary at Charlotte, for all Charlotte students.

Prior to admission, specific information from a prospective student allows the admissions committee of the seminary to be more helpful in evaluating the appropriateness of accommodations that can be provided in this learning environment. It is the specific responsibility of the director of admissions to counsel with applicants known to have a learning disability about the provisions and limitations of accommodation available so that a realistic decision can be made by both the applicant and the admissions committee. Documentation of specific learning disabilities and accommodations recommended by a qualified diagnostician must be presented by an admitted student (at least four weeks prior to matriculation) in order for special accommodations to begin. In cases of ambiguous or conflicting information, the institution reserves the right to request additional clarification or diagnosis.

After the student has contacted the appropriate academic dean and provided supporting documentation of the need for accommodation, Union Presbyterian Seminary will respond in a timely manner indicating what accommodations can be made and providing a time line for implementing them.

After admission and receipt by deadline of supporting documentation from the student, and at the student's request, the associate dean for academic programs or dean of Union Presbyterian Seminary at Charlotte will facilitate notification of professors and/or the library of the student's documented disability. If the student wishes consultation with faculty or library staff, he or she is expected to take the initiative in arranging such conversations.

In cases in which student-professor, learning-disability accommodation conferences fail (for a duly documented learning disability), to result in mutually-agreed accommodations, the accommodation(s) request and any supporting documentation from the student and/or from the professor will be referred to the Charlotte Dean (for any course lodged in Charlotte) or to the Associate Dean for Academic Programs (for any other course), which dean will then facilitate a review and decision through appropriate consultations within two weeks of receipt of the request.

Faculty Responsibilities

When a faculty member is provided access to documentation from the dean and receives an inquiry from the student, he or she is encouraged to work with the student in arranging reasonable adaptations consistent with the objectives and educational methods of the course. In keeping with the seminary's desire to prepare students for effectiveness in ministry, accommodations should be reasonably consistent with the types of accommodation that the individual could obtain in employment after graduation.

The following educational strategies are illustrative, but are in no way limiting or mandated:

- encouraging the student to "pair up" with a good note-taker in the class;
- extending time for examinations and/or provision of alternate locations for test-taking to minimize distractions;

- reviewing rough drafts of required papers, submitted ahead of official deadlines;
- allowing use of word processing technology, including spelling checkers, on examinations;
- presenting requirements for term papers at the beginning of the term so that longer periods of preparation are possible.

Responsibilities of Academic Deans

In addition to receiving documentation from the student and, at the student's request, providing faculty and library access to it, the academic deans are responsible for:

- establishing a procedure for making all recent course syllabi readily available for review, within three weeks of the request, by students who make specific inquiries;
- establishing a procedure with the campus bookstore for making book lists readily available, within three weeks of receiving the request, for students who make specific inquiries about courses.

Library Responsibilities

Upon notification from an academic dean, and upon request by the student, the librarian or public services personnel will provide assistance in the following areas:

- instruction in the use of catalogs, reference tools, and indexes in order that the student may make optimum use of these tools, and assistance with such use on an ongoing basis where learning difficulties make this advisable;
- assistance with media;
- study space for students with auditory or perceptual difficulties within general guidelines for use of library facilities and collections. Exceptions for removal of materials from designated areas may be made by library staff when conditions, in the opinion of the librarian, so warrant.

Student's Responsibilities

Students bear responsibility for taking initiative in providing documentation to the associate dean for academic programs (Richmond students) or the dean of Union Presbyterian Seminary at Charlotte (Charlotte students) and for obtaining the assistance suggested from the faculty, dean, and library. In addition, students are encouraged to:

- discuss reading loads for particular courses with professors prior to registering for the courses;
- discuss with other students and academic advisors the varying study loads and sequencing of courses that might be useful to them in fulfilling the requirements for their course of study;
- arrange an appointment with their professor at least two weeks prior to the beginning of course in order to thoroughly discuss the needs of the student and the requirements of the professor;
- discuss with faculty advisor(s) the impact of learning disabilities and needs upon academic progress.

Institutional Responsibilities

In addition to the responsibilities listed above, Union Presbyterian Seminary provides two additional resources:

- provision of financial aid, as institutional resources permit, for an additional year of study for professional-degree students who find it necessary, due to learning disabilities, to carry a reduced number of courses during each academic term.
- use of the institution's standing grievance procedures for resolution of disagreements regarding fair and reasonable treatment of a student with a documented specific learning disability.
-

Union Presbyterian Seminary reserves the right to establish whether or not requested accommodations fall within its mission and resources.

SUBSTANCE ABUSE PREVENTION POLICY

STANDARDS OF CONDUCT

In Compliance with federal regulations, Union Presbyterian Seminary prohibits the unlawful use, possession, and distribution of illicit drugs and alcohol on campus and at school activities. Illegal conduct by a student should be reported to the dean of students. Illegal conduct by an employee should be reported to the vice president for administration.

The illicit use or distribution of drugs (both illegal drugs and prescription medications or controlled substances for which the person does not have a legal prescription or which the person uses in a non-prescribed manner) and the abuse of alcohol may lead to the disciplinary action of required participation in a rehabilitation program (if the person recognizes a need for such rehabilitation or therapy), the suspension, to expulsion, to termination (in the case of an employee) and/or to prosecution. Persons in violation of any local, state, or federal laws are subject, as warranted, to prosecution by law enforcement agencies as well as to disciplinary proceedings by Union Presbyterian Seminary.

LEGAL SANCTIONS

Under the laws of the Commonwealth of Virginia, the legal age for consumption of alcoholic beverages is 21. Violations of Virginia's alcoholic beverage laws are misdemeanors subject to fine up to \$1,000, a jail term of up to twelve months, and possible loss of driver's license.

Violations of Virginia's drug control laws constitute misdemeanors or felonies, depending upon the nature of the offense involved, and can result in imprisonment of up to ten years and fines of up to \$2,500.

Federal penalties for the unlawful use or distribution of illicit drugs and alcohol range from fines of \$1,000 and several months in prison to fines of \$4 million (for an individual) and life imprisonment.

Health Risks

Substance abuse is a complex health problem. Medical research has shown that the misuse of drugs and alcohol can lead to severe and/or chronic physical, social, and emotional impairment. Substance abuse may lead to illness, accidents, absenteeism, poor performance, and other conditions harmful to the health and morale of the abuser, his or her family, and the community. In addition, the abuse of drugs and alcohol can cause marked impairments in higher mental functions, thus severely altering one's ability to learn. Substance abuse is inconsistent with the education process and with preparation for ministry.

A student with concerns about substance abuse may talk with the dean of student about these concerns. A student involved in substance abuse may have a confidential conversation with the dean of students; the dean of students may make referrals to a counselor or rehabilitation program if the student recognizes a potential need for such a program. Requests for referral will be kept confidential to the extent possible.

Union Presbyterian Seminary biennially reviews the substance abuse prevention policy to determine its effectiveness, to implement changes to the policy if they are needed, and to ensure that the disciplinary sanctions are consistently enforced.

Intentionally Left Blank



General Policy for Use of Facilities

1. The primary function of Union Presbyterian Seminary is to fulfill its mission. Any contemplated use of the seminary building or staff will need to be in accordance with the seminary's primary mission.
2. The Charlotte Campus of Union Presbyterian Seminary has a special relationship with Sharon Presbyterian Church. Members and staff of Sharon Presbyterian Church will be given privileged status when considering any use of the campus facilities.
 - a. Library Use: Members of Sharon Presbyterian Church may use the seminary library when presenting the appropriate identification;
 - b. Sunday mornings certain classrooms will be available to Sharon Presbyterian Church for Christian Education purposes.
3. The Presbyterian Psychological Services Center and Sharon Towers are our neighbors and accordingly they are given privileged status for certain types of meetings (e.g. weekly staff meetings). However the seminary building is not to be used for counseling purposes or for other institutions to fulfill their mission. If one of our neighbors asks to use part of our facility for a special program benefitting the church, consideration will be given on an ad hoc basis and an appropriate fee may be charged.
4. All other requests for use of the building will be treated on an ad hoc basis and will be judged in accordance with the nature of the request and our mission as a seminary.
5. All requests, privileged or not, must be received on an official facility request form and submitted to the Assistant to the Dean. A fee covering the cost for preparation and or "clean up" may be assessed.

6. Permission may be secured for use of certain facilities on campus for weddings and like events by directing all such requests to the Assistant to the Dean. Events such as weddings are accommodated **only when they will not interfere with institutional priorities and only when they involve an immediate member of the extended Union Presbyterian Seminary family** (e.g., students, staff, faculty, or alumni/ae).
7. The Union Presbyterian Seminary campus has one chapel that may be used for weddings:

Charlotte Campus Chapel has seating for approximately 100 persons. At this time the Chapel does not house a pipe organ or a piano.

8. A **\$400.00** fee is charged for use of the chapel by any but current students, staff, and faculty. **Current students, staff, and faculty** will be charged **\$200.00** for use of the chapel and are expected to leave the facilities as they found them. Only dripless candles may be used in the chapels. To protect the floors, plastic must be placed under any candelabra.
9. Weddings in the Charlotte Campus Chapel are considered a form of Christian worship. The officiant must be approved by the seminary dean and the service must reflect the main elements of Reformed worship.
10. Use of the Chapel for an event on days when the Charlotte Campus is not open will be subject to availability of security personnel to be on the premises at a cost of \$35 per hour.

Supplemental Rules for Use of Union Presbyterian Seminary
Charlotte Campus Facility

1. Union Presbyterian Seminary does not provide food or refreshments
2. Group contact leader is requested, upon closure of a meeting, to restore classroom (i.e. tables and chairs) back to their original placement.
3. Outside groups requesting use of classrooms will need to comply with the Union Presbyterian Seminary Charlotte Campus protocol for emergency situations.
4. Use of wide screen televisions, smart boards, or other technical equipment located in classrooms is available for outside groups. However, these groups must use their own laptops to connect with the screens in the rooms. Should the group contact leader have a need to borrow a computer accessory he/she will need to make such a request to the circulation desk in the library. Below is the library policy for such use:

Computer Accessories can be checked out for up to a day. There are no long term loans.

Computer Accessories are for use on-campus only.

Group contact leader must leave valid identification (drivers' license, church ID, etc.) when signing out any accessory at the Circulation Desk.

Group contact leader is reminded to sign the equipment back to the Circulation Desk at the end of the day (*identification will be returned at that time*)

List of Accessories: ☐ **30 pin adapter to VGA (Apple)**
 ☐ **30 pin adapter to HDMI (Apple)**
 ☐ **Mini adapter VGA (Apple)**
 ☐ **Mini adapter HDMI (Apple)**

5. Newsprint, magic markers and other such items in the classrooms are not available for use but the whiteboards in the classrooms may be used with the appropriate markers.
6. Guest and/or committees are welcomed to connect to the internet via the universal open Wi-fi system installed throughout the Charlotte Campus of Union Presbyterian Seminary.

Policy for Use of Facilities Lake Chapel

Permission may be secured for use of certain facilities on campus for weddings and like events by directing all such requests to the Registrar's Office with final approval by Dennis Johnson, Asst. Vice President for Operations. Events such as weddings are accommodated **only when they will not interfere with institutional priorities and only when they involve an immediate member of the extended UPSem family** (*e.g.*, students, staff, faculty, or alumni/ae).

Current students, staff, and faculty will be charged **\$500.00** for use of Lake Chapel and are expected to leave the facilities as they found them.

The UPSem campus Lake Chapel facility:

Lake Chapel on East Campus has seating for approximately 182. This chapel has contemporary moveable seating. Its pulpit is moveable (locations are limited) and may be adjusted to the height of the speaker with approval/oversight of the Media and Technology Center. Your reservation for the Lake Chapel will include the following services and amenities:

Rehearsal, use of the chapel for three hours
Wedding, use of the chapel for three hours
Balcony
Piano
Dressing rooms, (two) EC118 and EC125
Restrooms, ADA compliant
External security patrol
Parking lots and street parking are available
Heat/AC/lights

Please notice:

Only dripless candles may be used in the chapel. To protect the floors, plastic must be placed under any candelabra.

Flowers, candles, or any other decorations may not be placed on the piano.

Technological equipment is not available for use.

Intentionally Left Blank

Policy for Use of Facilities Watts Chapel

1. Permission may be secured for use of certain facilities on campus for weddings and like events by directing all such requests to the Registrar's Office with final approval by Dennis Johnson, Asst. Vice President for Operations. Events such as weddings are accommodated **only when they will not interfere with institutional priorities and only when they involve an immediate member of the extended Union Presbyterian Seminary family** (*e.g.*, students, staff, faculty, or alumni/ae).
2. The Union Presbyterian Seminary campus has one chapel facility that is used for weddings:

Watts Chapel has seating for approximately 340 persons. This chapel has traditional fixed-pew seating and aisles down the sides of the sanctuary. Its pulpit is moveable and may be adjusted to the height of the speaker. A pipe organ and a piano are available for use.
3. A **\$250.00** fee is charged for use of the chapel by any but current students, staff, and faculty. If the facility is left in good condition and if all furniture is returned to its original position, \$100.00 of this fee will be refunded. **Current students, staff, and faculty** will be charged **\$100.00** for use of the chapel and are expected to leave the facilities as they found them.
4. Only dripless candles may be used in the chapels. To protect the floors, plastic must be placed under any candelabra.
5. Flowers, candles, or any other decorations may not be placed on the piano.

Intentionally Left Blank

VIOLENCE IN THE WORKPLACE

Union Presbyterian Seminary provides a safe workplace for all employees. To ensure a safe workplace and to reduce the risk of violence, all employees should review and understand all provisions of our workplace violence policy. We do not tolerate any type of workplace violence committed by or against employees. Employees are prohibited from making threats or engaging in violent activities.

This list of behaviors, while not inclusive, provides examples of conduct that are prohibited:

- Causing physical injury to another person;
- Making threatening remarks which cause injury to another person or subjects another individual to emotional distress;
- Intentionally damaging Company property or property of another employee;
- Possession of a weapon while on Company property or while on Company business; and
- Committing acts motivated by, or related to sexual harassment or domestic violence.

Any potentially dangerous situations must be reported immediately to your manager. Reports can be made anonymously and all reported incidents will be investigated. Reports or incidents warranting confidentiality will be handled appropriately and information will be disclosed to others only on a need-to-know basis. All parties involved in a situation will be counseled and the results of investigations will be discussed with them. Threats, threatening conduct or any other acts of aggression or violence in the workplace are a violation of this policy. Any employee determined to have committed such acts will be subject to corrective action, up to and including termination. Non-employees engaged in violent acts on the Company's premises will be reported to the proper authorities and prosecuted to the fullest extent of the law.

Intentionally Left Blank

Union Presbyterian Seminary Whistleblower Protection / Speak Up Policy

Purpose

Union Presbyterian Seminary (UPSEM) is committed to maintaining the highest standards of honesty, integrity and ethical, moral and legal conduct. In line with that commitment, we expect faculty, staff, volunteers and other members of the UPSEM community to abide by state and federal laws and to conduct all academic, business, religious and financial affairs of the Seminary in an ethical and non-fraudulent manner.

Speaking Up

Employees are potentially the first to realize that there may be something wrong within UPSEM or the actions of a fellow co-worker. However, they may decide not to express their concerns because they feel that speaking up would be disloyal to their colleagues, supervisors, or the Seminary. They may also fear harassment or retaliation. In these circumstances, individuals may feel it would be easier to ignore a concern rather than report what may be a suspicion of wrongdoing.

As such, please know that we expect and encourage all faculty, staff, volunteers and others with whom we deal who have serious concerns about any aspect of UPSEM's work to come forward and voice those issues. Further, this Speak Up policy applies to all directors, officers, faculty members, staff, contractors, suppliers and volunteers working for or who do business with UPSEM.

What Is Wrongdoing?

Wrongdoing involves any behavior that is unlawful, unethical or involves a conflict of interest. Such actions can include but are not limited to:

- Knowingly or unwittingly violating federal or state laws or regulations;
- Breach of or failure to implement or comply with any approved UPSEM policy, including any code of ethics and conduct;
- Questionable accounting or auditing practices;
- Dangerous practices likely to cause physical harm, including damage to any person or property;
- Failure to rectify or take reasonable steps to report a matter likely to give rise to a significant and avoidable cost or loss to UPSEM; and
- Behavior that involves or leads to a conflict of interest.

How Are You Protected?

Individuals who report concerns (or who participate in the investigation of such matters) in good faith to appropriate individuals at UPSEM can do so without fear of retaliation, subsequent discrimination or disadvantage. This Speak Up policy is intended to encourage members of the UPSEM community to raise concerns within UPSEM rather than overlooking a problem.

Further, retaliation is itself a separate, serious violation and should be reported in the same manner as other forms of misconduct. If UPSEM determines that retaliation has occurred, the Seminary will take appropriate corrective action, up to and including dismissal.

Whom Should You Contact?

Anyone with a complaint or concern about any wrongdoing involving UPSEM or members of the UPSEM community should contact their supervisor or the Seminary's chief compliance officer, the Vice President for Finance & Administration. (Michael B. Cashwell, Watts Hall, 804.278.4205, mcashwell@upsem.edu.) However, if a complainant is uncomfortable using one of these resources, or if the matter at issue involves complainant's supervisor or the compliance officer, then one may report a concern to the Seminary President (Dr. Brian K. Blount, Watts Hall, 804.278.4207, bblount@upsem.edu) or the Chair of the Audit Committee for the Board of Trustees (upsemauditchair@gmail.com). Further, if the matter at issue involves questionable accounting or auditing practices or financial improprieties, one should report that concern directly to the Chair of the Audit Committee (upsemauditchair@gmail.com).

How Will UPSEM Respond?

UPSEM will review and/or investigate concerns in line with established procedures, and action will be taken to address issues as deemed appropriate by management. In order to protect individuals and those accused of possible misconduct, initial inquiries will be made to decide whether an investigation or review is appropriate and, if so, what form it should take. Thus, you should know that UPSEM's initial checking into concerns is not the same as either accepting or rejecting them.

Any individual who may be implicated in a concern at issue shall not participate in any deliberation of management or the Board of Directors regarding such matters, except to present information on his or her own behalf as part of the review. Further, the compliance officer or President shall notify the Audit Committee Chair and Business & Finance Committee Chair as soon as possible of any concern or complaint regarding Seminary accounting practices, finances, internal controls or auditing.

Confidentiality

The Seminary respects the confidentiality of all those who raise concerns at UPSEM, including a person's desire to remain anonymous. Thus, during the investigative process, information will be shared only for purposes of investigating or addressing a complaint so as to be sensitive to the privacy concerns of all involved.

Under certain circumstances, UPSEM may be compelled or need to determine the identity of the person who made a complaint and/or to disclose the content of a complaint and any information that the Seminary learns as a result of its inquiry. For example, UPSEM may have an affirmative legal obligation to disclose certain information to a regulator, accreditation agency, or governmental authorities. UPSEM may also need to disclose certain facts in order to fairly investigate a concern.

As a result, although one may request confidentiality and even anonymity in reporting wrongdoing, in some circumstances the Seminary may need to determine the identity of an individual or disclose certain information on a need-to-know basis or where otherwise required. Further, as a practical matter, individuals should recognize that UPSEM may be unable to fully evaluate a vague or general complaint or to follow up on and verify concerns if the person raising an issue is not prepared to give his or her name.

False and Malicious Allegations

UPSEM is proud of its reputation for the highest standards of honesty and Christian conduct. Also, as noted above, the Seminary prohibits retaliation against individuals for making good faith complaint or reports under this Speak Up policy or for providing information in any official inquiry or investigation. This protection extends to those individuals whose allegations are made in good faith but are later shown to be mistaken. However, it is important to realize that false accusations under this policy and the providing of false or malicious information in an investigation can have a serious effect on

innocent persons. UPSEM, therefore, reserves the right to discipline persons who make bad faith, knowingly false, or malicious complaints, reports or inquiries, who engage in retaliation, or who otherwise abuse this policy.

Intentionally Left Blank

Acceptable Use of Technology Policy

Checklist

[Send updated checklist and policy revisions to OFINE@upsem.edu. Policies, procedures, and checklists are in Microsoft Word format on Blackboard in OFINE Course]

Concise statement of the purpose of the policy:

Recognizing the significant role that technology plays in the mission of educational institutions, the church, and society as a whole, Union Presbyterian Seminary is committed to providing and maintaining computing resources for its faculty, staff, and students. The purpose of this document is to provide a general overview of the expectations Union Presbyterian Seminary has for its students who use the computing resources that are owned by the institution.

1. Who is responsible for changes and updating published policy:

Director of Technology Services

2. Date policy was initiated:

3. Latest revision date: **January 2015**

4. Next review due: **2017-2018; every three years**

5. Applicable Seminary constituencies

Board ☒

Faculty ☒

Staff ☒

Students ☒

6. Notification of policy review and revisions:

In which seminary publications should this policy be referenced?

Board of Trustees Manual ☐

Faculty Manual ☒

Employee Handbook ☒

Student Handbook ☒

UPSem Website ☐

Acceptable Use of Technology Policy Checklist

7. Evaluating effectiveness of the policy and revising it

a. Who is responsible?

Director of Technology Services

b. Method of evaluating and revising.

Needs to be supplied by a. above

c. To whom do they report their findings?

ESP

[Send updated checklist and policy revisions to OFINE@upsem.edu]

Alcoholic Beverage Policy

Checklist

[Send updated checklist and policy revisions to OFINE@upsem.edu]

Concise statement of the purpose of the policy:

Not stated in policy

1. Who is responsible for changes and updating published policy:

Community Life Committee

2. Date policy was initiated :

3. Latest revision date:

4. Next review due: **2014-2015; every three years**

5. Applicable Seminary constituencies

Board ☒

Faculty ☒

Staff ☒

Students ☒

6. Notification of policy review and revisions:

In which seminary publications should this policy be referenced?

Board of Trustees Manual ☐

Faculty Manual ☒

Employee Handbook ☒

Student Handbook ☒

UPSem Website ☐

Alcoholic Beverage Policy Checklist

7. Evaluating effectiveness of the policy and revising it

a. Who is responsible?

Community Life Committee

a. Method of evaluating and revising.

Needs to be supplied by a. above

b. To whom do they report their findings?

ESP

[Send updated checklist and policy revisions to OFINE@upsem.edu]

Auditing Courses at Union Presbyterian Seminary Checklist

[Send updated checklist and procedure revisions to OFINE@upsem.edu]

1. Who is responsible for changes and updating published procedure:

ESP

2. Date procedure was initiated: **February 2014**

3. Latest Revision date:

4. Next review date: **2014-2015; every three years**

5. Applicable Seminary constituencies:

Board ☐

Faculty ☒

Staff ☒

Students ☒

Other: _____

6. Notification of procedure review and revisions:

In which seminary publications should this procedure be referenced?

Board of Trustees Manual-in Blackboard ☐

Faculty Manual ☒

Employee Handbook ☒

Student Handbook ☒

UPSem Website ☒

[Send updated checklist and procedure revisions to OFINE@upsem.edu]

Intentionally Left Blank

Awarding of Honorary Degrees at UPSem Checklist

[Send updated checklist and procedure revisions to OFINE@upsem.edu]

1. Who is responsible for changes and updating published procedure:
President

2. Date procedure was initiated:

3. Latest revision date: **April 28, 2011**

4. Next review date: **2014-2015; every three years**

5. Applicable Seminary constituencies:

Board ☒

Faculty ☒

Staff ☐

Students ☐

Other: _____

6. Notification of procedure review and revisions:

In which seminary publications should this procedure be referenced?

Board of Trustees Manual-in Blackboard ☒

Faculty Manual ☐

Employee Handbook ☐

Student Handbook ☐

UPSem Website ☐

[Send updated checklist and procedure revisions to OFINE@upsem.edu]

Intentionally Left Blank

Community Grievance and Discipline Policy

Checklist

[Send updated checklist and policy revisions to OFINE@upsem.edu. Policies, procedures, and checklists are in Microsoft Word format on Blackboard in OFINE Course]

Concise statement of the purpose of the policy:

This policy provides a foundational framework for resolving disputes and may be applied with flexibility which allows for creative resolution in a variety of circumstances.

1. Who is responsible for changes and updating published policy:

Student Assessment and Awards Committee

2. Date policy was initiated:

3. Latest revision date: **May 2015**

4. Next review due: **2014-2015; every three years**

5. Applicable Seminary constituencies

Board ☐

Faculty ☒

Staff ☒

Students ☒

6. Notification of policy review and revisions:

In which seminary publications should this policy be referenced?

Board of Trustees Manual ☐

Faculty Manual ☒

Employee Handbook ☒

Student Handbook ☒

UPSem Website ☐

Community Grievance and Discipline Policy Checklist

7. Evaluating effectiveness of the policy and revising it

a. Who is responsible?

Student Assessment and Awards committee

b. Method of evaluating and revising.

Needs to be supplied by a. above

c. To whom do they report their findings?

ESP

[Send updated checklist and policy revisions to OFINE@upsem.edu]

Conditional Admission Checklist

[Send updated checklist and policy revisions to OFINE@upsem.edu. Policies, procedures, and checklists are in Microsoft Word format on Blackboard in OFINE Course]

Concise statement of the purpose of the policy:

The conditional admissions policy guides the admissions committee in making decisions.

1. Who is responsible for changes and updating published policy:
VP for Community Life and Dean of Students
2. Date policy was initiated :
January 14, 2014
3. Latest Revision date:
May 2016
4. Next review due:
May 2019
5. Applicable Seminary constituencies

Board	<input type="checkbox"/>
Faculty	<input checked="" type="checkbox"/>
Staff	<input checked="" type="checkbox"/>
Students	<input checked="" type="checkbox"/>

6. Notification of policy review and revisions:
 - a. In which seminary publications should this policy be referenced:

Board of Trustees Manual-in Blackboard	<input type="checkbox"/>
<i>Faculty Manual</i>	<input type="checkbox"/>
<i>Employee Handbook</i>	<input type="checkbox"/>
<i>Student Handbook</i>	<input checked="" type="checkbox"/>
UPSem Website	<input type="checkbox"/>

7. Evaluating effectiveness of the policy and revising it

a. Who is responsible?

Admissions department staff

b. Method of evaluating and revising.

Review of conditional admits over the previous three years; discussion with admission committee regarding ease of use; discussion with registrar and academic deans as to progress of conditionally admitted students in the program

c. Who do they report findings to?

Admissions Committee

[Send updated checklist and policy revisions to OFINE]

Conflict of Interest Checklist

[Send updated checklist and procedure revisions to OFINE@upsem.edu]

1. Who is responsible for changes and updating published procedure:

President

2. Date procedure was initiated :

3. Latest Revision date: **January 2011**

4. Next review date: **2014-2015; every three years**

5. Applicable Seminary constituencies:

Board ☒

Faculty ☐

Staff ☐

Students ☐

Other: _____

6. Notification of procedure review and revisions:

In which seminary publications should this procedure be referenced?

Board of Trustees Manual-in Blackboard ☒

Faculty Manual ☐

Employee Handbook ☐

Student Handbook ☐

UPSem Website ☐

[Send updated checklist and procedure revisions to OFINE@upsem.edu]

Intentionally Left Blank

COPYRIGHT POLICY

Checklist

[Send updated checklist and policy revisions to OFINE@upsem.edu. Policies, procedures, and checklists are in Microsoft Word format on Blackboard in OFINE Course]

Concise statement of the purpose of the policy:

It is the intent of UPSem that all members of the Seminary community adhere to the provisions of the United States Copyright Law (Title 17, United States Code, Sect. 101, et seq.). The following policy statements and guidelines constitute a manual for anyone at the Seminary who wishes to reproduce, alter, or perform works that are protected by copyright. Since copyright protection applies to a variety of creative works -- printed materials, sound recordings, video recordings, visual artworks, computer software, and others -- the manual has been constructed to address issues related to particular types of media.

1. Who is responsible for changes and updating published policy:

~~Library Director~~ Seminary Librarian

2. Date policy was initiated :

April 2009

3. Latest Revision date:

May 2015

4. Next review due: **2014-15; every three years**

5. Applicable Seminary constituencies

Board ☒

Faculty ☒

Staff ☒

Students ☒

6. Notification of policy review and revisions:

- a. In which seminary publications should this policy be referenced:

Board of Trustees Manual-in Blackboard



Faculty Manual



Employee Handbook



Student Handbook



UPSem Website



7. Evaluating effectiveness of the policy and revising it

a. Who is responsible?

Seminary Librarian

b. Method of evaluating and revising.

c. Who do they report findings to?

ESP

[Send updated checklist and policy revisions to OFINE]

Copyright Ownership Policy

Checklist

[Send updated checklist and policy revisions to OFINE@upsem.edu]

Concise statement of the purpose of the policy:

The purpose of this statement is to set forth campus policy regarding copyright ownership for works produced at, by, or through Union Presbyterian Seminary. This policy applies to UPSem faculty, staff, students, and other persons or entities using designated Seminary facilities or acting under contract with UPSem for commissioned works.

1. Who is responsible for changes and updating published policy:

Faculty Advisory Committee

2. Date policy was initiated:

3. Latest revision date: **April-May, 2009**

4. Next review due: **2014-15; every three years**

5. Applicable Seminary constituencies

Board	<input type="checkbox"/>
Faculty	<input checked="" type="checkbox"/>
Staff	<input checked="" type="checkbox"/>
Students	<input checked="" type="checkbox"/>

6. Notification of policy review and revisions:

In which seminary publications should this policy be referenced?

Board of Trustees Manual	<input type="checkbox"/>
<i>Faculty Manual</i>	<input checked="" type="checkbox"/>
<i>Employee Handbook</i>	<input checked="" type="checkbox"/>
<i>Student Handbook</i>	<input checked="" type="checkbox"/>
UPSem Website	<input type="checkbox"/>

Copyright Ownership Policy Checklist

7. Evaluating effectiveness of the policy and revising it

a. Who is responsible?

Faculty Advisory Committee

b. Method of evaluating and revising:

Needs to be supplied by a. above

c. To whom do they report their findings?

ESP

[Send updated checklist and policy revisions to OFINE@upsem.edu]

Credit Hour Procedure Checklist

[Send updated checklist and policy revisions to OFINE@upsem.edu]

1. Who is responsible for changes and updating published policy: **Academic Program Committee**
2. Date policy was initiated:
3. Latest revision date: **May 10, 2012**
4. Next review due: **2014-2015; every three year**
5. Applicable Seminary constituencies

Board	<input type="checkbox"/>
Faculty	<input checked="" type="checkbox"/>
Staff	<input type="checkbox"/>
Students	<input checked="" type="checkbox"/>

6. Notification of policy review and revisions:

In which seminary publications should this policy be referenced?

Board of Trustees Manual	<input type="checkbox"/>
<i>Faculty Manual</i>	<input checked="" type="checkbox"/>
<i>Employee Handbook</i>	<input type="checkbox"/>
<i>Student Handbook</i>	<input checked="" type="checkbox"/>
UPSem Website	<input type="checkbox"/>

[Send updated checklist and policy revisions to OFINE@upsem.edu]

Intentionally Left Blank

Expense Reimbursement Policy for Employment Candidates

Checklist

[Send updated checklist and policy revisions to OFINE@upsem.edu. Policies, procedures, and checklists are in Microsoft Word format on Blackboard in OFINE Course]

Concise statement of the purpose of the policy:

To outline policies that apply to expense payment or reimbursement for candidates for faculty or certain administrative staff position

1. Who is responsible for changes and updating published policy:
Vice president for Finance and Administration

2. Date policy was initiated : May 2016

3. Latest Revision date: May 2016

4. Next review due: May 2019

5. Applicable Seminary constituencies

Board ☐

Faculty ☐

Staff ☐

Students ☐

6. Notification of policy review and revisions:

a. In which seminary publications should this policy be referenced:

Board of Trustees Manual-in Blackboard ☐

Faculty Manual ☐

Employee Handbook ☐

Student Handbook ☐

UPSem Website ☐

7. Evaluating effectiveness of the policy and revising it
 - a. Who is responsible? Vice President of Finance and Administration
 - b. Method of evaluating and revising.
 - c. Who do they report findings to?

[Send updated checklist and policy revisions to OFINE]

Family and Medical Leave (FMLA) Checklist

[Send updated checklist and policy revisions to OFINE@upsem.edu. Policies, procedures, and checklists are in Microsoft Word format on Blackboard in OFINE Course]

1. Who is responsible for changes and updating published policy:

Vice President of Finance & Administration

2. Date policy was initiated :

November 2014

3. Latest Revision date:

March 2016

4. Next review date:

March 2019

5. Applicable Seminary constituencies:

Board ☐

Faculty ☒

Staff ☒

Students ☐

Other: _____

6. Notification of policy review and revisions:

- a. In which seminary publications should this policy be referenced:

Board of Trustees Manual-in Blackboard ☐

Faculty Manual ☒

Employee Handbook ☒

Student Handbook ☐

UPSem Website ☐

[Send updated checklist and policy revisions to OFINE]

Intentionally Left Blank

FIREARMS POLICY

Checklist

[Send updated checklist and policy revisions to OFINE]

Concise statement of the purpose of the policy:

1. Who is responsible for changes and updating published policy:

VP Finance and Administration

2. Date policy was initiated : **June 2014**

3. Latest Revision date:

4. Next review due: **2014-2015; every three years**

5. Applicable Seminary constituencies

Board ☒

Faculty ☒

Staff ☒

Students ☒

6. Notification of policy review and revisions:

- a. In which seminary publications should this policy be referenced:

Board of Trustees Manual-in Blackboard ☒

Faculty Manual ☒

Employee Handbook ☒

Student Handbook ☒

UPSem Website ☒

7. Evaluating effectiveness of the policy and revising it

a. Who is responsible?

Vice President for Finance and Administration

b. Method of evaluating and revising.

Needs to be supplied by a. above

c. To whom do they report their findings?

ESP

[Send updated checklist and policy revisions to OFINE]

Gift Acceptance Procedure Checklist

[Send updated checklist and policy revisions to OFINE@upsem.edu. Policies, procedures, and checklists are in Microsoft Word format on Blackboard in OFINE Course]

1. Who is responsible for changes and updating published procedure:

VP for Advancement

2. Date procedure was initiated:
3. Latest revision date: **May 2016**
4. Next review date: **2019-2020; every three years**
5. Applicable Seminary constituencies:

Board ☒

Faculty ☐

Staff ☐

Students ☐

Other: _____

1. Notification of procedure review and revisions:

In which seminary publications should this procedure be referenced?

Board of Trustees Manual-in Blackboard ☐

Faculty Manual ☐

Employee Handbook ☐

Student Handbook ☐

UPSem Website ☐

[Send updated checklist and procedure revisions to OFINE@upsem.edu]

Intentionally Left Blank

Hiring International Students Procedure

Checklist

[Send updated checklist and policy revisions to OFINE@upsem.edu. Policies, procedures, and checklists are in Microsoft Word format on Blackboard in OFINE Course]

1. Who is responsible for changes and updating published procedure:

VP for Community Life & Dean of Students

2. Date procedure was initiated:
3. Latest revision date: **Summer 2014**
4. Next review date: **2014-2015; every three years**
5. Applicable Seminary constituencies:

Board ☐

Faculty ☐

Staff ☐

Students ☒

Other: non-student residents of student housing

6. Notification of procedure review and revisions:

In which seminary publications should this procedure be referenced?

Board of Trustees Manual-in Blackboard ☐

Faculty Manual ☐

Employee Handbook ☐

Student Handbook ☒

UPSem Website ☐

[Send updated checklist and procedure revisions to OFINE@upsem.edu]

Intentionally Left Blank

Housing Procedure Checklist

[Send updated checklist and procedure revisions to OFINE@upsem.edu]

1. Who is responsible for changes and updating published procedure:

Housing Coordinator

2. Date procedure was initiated:

3. Latest revision date: **Summer 2013**

4. Next review date: **2014-2015; every three years**

5. Applicable Seminary constituencies:

Board ☐

Faculty ☐

Staff ☐

Students ☒

Other: non-student residents of student housing

6. Notification of procedure review and revisions:

In which seminary publications should this procedure be referenced?

Board of Trustees Manual-in Blackboard ☐

Faculty Manual ☐

Employee Handbook ☐

Student Handbook ☒

UPSem Website ☐

Suggestion: Add Pet Procedure to Housing

[Send updated checklist and procedure revisions to OFINE@upsem.edu]

Intentionally Left Blank

Inclement Weather Checklist--Charlotte

[Send updated checklist and procedure revisions to OFINE@upsem.edu]

1. Who is responsible for changes and updating published procedure:

Vice President of Finance & Administration

2. Date procedure was initiated:
3. Latest revision date: **2012**
4. Next review: **2015-16; every three years**
5. Applicable Seminary constituencies:

Board ☐

Faculty ☒

Staff ☒

Students ☒

Other: _____

6. Notification of procedure review and revisions:

In which seminary publications should this procedure be referenced?

Board of Trustees Manual-in Blackboard ☐

Faculty Manual ☐

Employee Handbook ☒

Student Handbook ☒

UPSem Website ☒

[Send updated checklist and procedure revisions to OFINE@upsem.edu]

Intentionally Left Blank

Inclement Weather Checklist--Richmond

[Send updated checklist and policy revisions to OFINE@upsem.edu. Policies, procedures, and checklists are in Microsoft Word format on Blackboard in OFINE Course]

1. Who is responsible for changes and updating published procedure:

Vice President of Finance & Administration

2. Date procedure was initiated:

3. Latest revision date: **3/30/15 (received from Registrar's office)**

4. Next review: **every three years**

5. Applicable Seminary constituencies:

Board ☐

Faculty ☒

Staff ☒

Students ☒

Other: _____

6. Notification of procedure review and revisions:

In which seminary publications should this procedure be referenced?

Board of Trustees Manual-in Blackboard ☐

Faculty Manual ☐

Employee Handbook ☒

Student Handbook ☒

UPSem Website ☒

[Send updated checklist and procedure revisions to OFINE@upsem.edu]

Intentionally Left Blank

Inclusive Language Policy

Checklist

[Send updated checklist and policy revisions to OFINE@upsem.edu]

Concise statement of the purpose of the policy:

The following resolution was endorsed by the Union Seminary faculty May 26, 1980, and reaffirmed March 11, 1982. It was endorsed by the PSCE faculty December 12, 1996. The faculty recognizes "...the importance of using language in teaching, worship, administration, and personal relationships that is inclusive." The faculty committed itself "...to mutual encouragement of one another in developing a style of language in which all persons find themselves included." The following is intended as a further development of that resolution and applies to faculty, students, staff, and administration.

1. Who is responsible for changes and updating published policy: **Academic Program Committee**
2. Date policy was initiated:
3. Latest revision date: **Reaffirmed March 11, 1982 by Union faculty; endorsed December 12, 1996 by PSCE faculty.**
4. Next review due: **2014-2015; every three years**
5. Applicable Seminary constituencies

Board	<input checked="" type="checkbox"/>
Faculty	<input checked="" type="checkbox"/>
Staff	<input checked="" type="checkbox"/>
Students	<input checked="" type="checkbox"/>

6. Notification of policy review and revisions:

In which seminary publications should this policy be referenced?

Board of Trustees Manual	<input type="checkbox"/>
<i>Faculty Manual</i>	<input checked="" type="checkbox"/>
<i>Employee Handbook</i>	<input checked="" type="checkbox"/>
<i>Student Handbook</i>	<input checked="" type="checkbox"/>
UPSem Website	<input type="checkbox"/>

7. Evaluating effectiveness of the policy and revising it

a. Who is responsible? **OFINE suggests oversight be moved to Community Life Committee in order to lighten the load on the Academic Program Committee.**

b. Method of evaluating and revising.
Needs to be supplied by a. above

c. To whom do they report their findings?
ESP

[Send updated checklist and policy revisions to OFINE@upsem.edu]

Institutional Protocol for Emergencies – Charlotte Checklist

[Send updated checklist and procedure revisions to OFINE@upsem.edu]

1. Who is responsible for changes and updating published procedure:

Dean of Charlotte

2. Date procedure was initiated:

3. Latest revision date:

4. Next review date: **2014-2015; every three years**

5. Applicable Seminary constituencies:

Board ☐

Faculty ☒

Staff ☒

Students ☒

Other: _____

6. Notification of procedure review and revisions:

In which seminary publications should this procedure be referenced?

Board of Trustees Manual-in Blackboard ☐

Faculty Manual ☐

Employee Handbook ☐

Student Handbook ☐

UPSem Website ☐

[Send updated checklist and procedure revisions to OFINE@upsem.edu]

Intentionally Left Blank

Institutional Protocol for Emergencies

Richmond – Thompson & Paisley

Checklist

[Send updated checklist and policy revisions to OFINE@upsem.edu. Policies, procedures, and checklists are in Microsoft Word format on Blackboard in OFINE Course]

1. Who is responsible for changes and updating published procedure:

Dean of Leadership Institute

2. Date procedure was initiated: **September 2012**

3. Latest revision date: **February 2015**

4. Next review date: **2017-2018; every three years**

5. Applicable Seminary constituencies:

Board ☐

Faculty ☒

Staff ☒

Students ☐

Other: _____

6. Notification of procedure review and revisions:

In which seminary publications should this procedure be referenced?

Board of Trustees Manual-in Blackboard ☐

Faculty Manual ☐

Employee Handbook ☐

Student Handbook ☐

UPSem Website ☐

[Send updated checklist and procedure revisions to OFINE@upsem.edu]

Intentionally Left Blank

Investment Objectives, Policies and Guidelines

Checklist

[Send updated checklist and procedure revisions to OFINE@upsem.edu]

1. Who is responsible for changes and updating published procedure: **Vice President of Finance and Administration**
2. Date procedure was initiated:
3. Latest revision date: **April 2016**
4. Next reviews due: **2019-2020; every three years**
5. Applicable Seminary constituencies

Board	<input checked="" type="checkbox"/>
Faculty	<input type="checkbox"/>
Staff	<input type="checkbox"/>
Students	<input type="checkbox"/>

6. Notification of procedure review and revisions:

In which seminary publications should this procedure be referenced?

Board of Trustees Manual	<input type="checkbox"/>
<i>Faculty Manual</i>	<input type="checkbox"/>
<i>Employee Handbook</i>	<input type="checkbox"/>
<i>Student Handbook</i>	<input type="checkbox"/>
UPSem Website	<input type="checkbox"/>

[Send updated checklist and procedure revisions to OFINE@upsem.edu]

Intentionally Left Blank

Library Collection Development Policy for Charlotte

Checklist

[Send updated checklist and policy revisions to OFINE@upsem.edu. Policies, procedures, and checklists are in Microsoft Word format on Blackboard in OFINE Course]

Concise statement of the purpose of the policy:

The Union Presbyterian Seminary Library at Charlotte provides print, electronic and multimedia resources as well as library instruction to support the curricula and research needs of Union Presbyterian Seminary. Within the bounds of this curricular focus, the library also offers resources to church leaders, congregations and the general public for their study and growing understanding of Christian faith and practice.

1. Who is responsible for changes and updating published policy: **Library Director Seminary Librarian**
2. Date policy was initiated:
3. Latest revision date: 2011
4. Next reviews due: **2014-2015; every three years**
5. Applicable Seminary constituencies

Board ☐

Faculty ☒

Staff ☐

Students ☒

6. Notification of policy review and revisions:
in which seminary publications should this policy be referenced?

Board of Trustees Manual ☐

Faculty Manual ☐

Employee Handbook ☐

Student Handbook ☐

UPSem Website ☒

Library Collection Development Policy for Charlotte Checklist

7. Evaluating effectiveness of the policy and revising it

a. Who is responsible?

~~Library Director~~ Seminary Librarian

b. Method of evaluating and revising.

Needs to be supplied by a. above.

c. To whom do they report their findings?

ESP

[Send updated checklist and policy revisions to OFINE@upsem.edu]

Library Collection Development Policy for Morton

Checklist

[Send updated checklist and policy revisions to OFINE@upsem.edu. Policies, procedures, and checklists are in Microsoft Word format on Blackboard in OFINE Course]

Concise statement of the purpose of the policy:

The William Smith Morton Library provides print, electronic and multimedia resources as well as library instruction to support the curricula and research needs of Union Presbyterian Seminary and the Baptist Theological Seminary at Richmond (BTSR). Within the bounds of this curricular focus, the library also offers resources to church leaders, congregations and the general public for their study and growing understanding of Christian faith and practice.

1. Who is responsible for changes and updating published policy: **Library Director- Seminary Librarian**
2. Date policy was initiated:
3. Latest revision date: **2011**
4. Next reviews due: **2014-2015; every three years**
5. Applicable Seminary constituencies

Board	<input type="checkbox"/>
Faculty	<input checked="" type="checkbox"/>
Staff	<input type="checkbox"/>
Students	<input checked="" type="checkbox"/>

6. Notification of policy review and revisions:

In which seminary publications should this policy be referenced?

Board of Trustees Manual	<input type="checkbox"/>
<i>Faculty Manual</i>	<input type="checkbox"/>
<i>Employee Handbook</i>	<input type="checkbox"/>
<i>Student Handbook</i>	<input type="checkbox"/>
UPSem Website	<input checked="" type="checkbox"/>

Library Collection Development Policy for Morton Checklist

7. Evaluating effectiveness of the policy and revising it

a. Who is responsible?

~~Library Director~~ Seminary Librarian

b. Method of evaluating and revising.

Needs to be supplied by a. above

c. To whom do they report their findings?

ESP

[Send updated checklist and policy revisions to OFINE@upsem.edu]

Movable Asset Control Procedure

Checklist

[Send updated checklist and procedure revisions to OFINE@upsem.edu]

1. Who is responsible for changes and updating published procedure:

VP Finance and Administration

2. Date procedure was initiated: **September 2013**

3. Dates of last changes:

4. Next review date: **2014-2015; every three years**

5. Applicable Seminary constituencies:

Board ☐

Faculty ☐

Staff ☐

Students ☐

Other: _____

6. Notification of procedure review and revisions:

In which seminary publications should this procedure be referenced?

Board of Trustees Manual-in Blackboard ☐

Faculty Manual ☐

Employee Handbook ☐

Student Handbook ☐

UPSem Website ☐

[Send updated checklist and procedure revisions to OFINE@upsem.edu]

Intentionally Left Blank

Non-Degree/Limited Enrollment Admission Checklist

[Send updated checklist and policy revisions to OFINE@upsem.edu. Policies, procedures, and checklists are in Microsoft Word format on Blackboard in OFINE Course]

1. Who is responsible for changes and updating published policy:
Admissions Department

2. Date policy was initiated :
Unknown

3. Latest Revision date:
September 30, 2015

4. Next review date:
September 2018

5. Applicable Seminary constituencies:

Board ☐

Faculty ☒

Staff ☒

Students ☐

Other: _____

6. Notification of policy review and revisions:

a. In which seminary publications should this policy be referenced:

Board of Trustees Manual-in Blackboard ☐

Faculty Manual ☐

Employee Handbook ☐

Student Handbook ☒

UPSem Website ☐

[Send updated checklist and policy revisions to OFINE]

Intentionally Left Blank

Pet Procedure Checklist

[Send updated checklist and policy revisions to OFINE@upsem.edu]

1. Who is responsible for changes and updating published policy:
Housing Coordinator

2. Date policy was initiated :

3. Latest Revision date: Summer 2013

4. Next review date: **2014-2015; every three years**

5. Applicable Seminary constituencies:

Board ☐

Faculty ☐

Staff ☐

Students ☒

Other: _____

6. Notification of policy review and revisions:

In which seminary publications should this policy be referenced?

Board of Trustees Manual-in Blackboard ☐

Faculty Manual ☐

Employee Handbook ☐

Student Handbook ☒

UPSem Website ☐

Suggestion: Add to Housing Procedure

[Send updated checklist and policy revisions to OFINE@upsem.edu]

Intentionally Left Blank

Plagiarism Policy

Checklist

[Send updated checklist and policy revisions to OFINE@upsem.edu]

Concise statement of the purpose of the policy:

Not stated in policy

1. Who is responsible for changes and updating published policy: **Academic Program Committee**
2. Date policy was initiated:
3. Latest revision date: **became effective AY 2009-2010**
4. Next review due: **2014-2015; every three years**
5. Applicable Seminary constituencies

Board	<input type="checkbox"/>
Faculty	<input checked="" type="checkbox"/>
Staff	<input type="checkbox"/>
Students	<input checked="" type="checkbox"/>

6. Notification of policy review and revisions:

In which seminary publications should this policy be referenced?

Board of Trustees Manual	<input type="checkbox"/>
<i>Faculty Manual</i>	<input checked="" type="checkbox"/>
<i>Employee Handbook</i>	<input type="checkbox"/>
<i>Student Handbook</i>	<input checked="" type="checkbox"/>
UPSem Website	<input type="checkbox"/>

7. Evaluating effectiveness of the policy and revising it

- a. Who is responsible?

Academic Program Committee

- b. Method of evaluating and revising.

Needs to be supplied by a. above

- c. To whom do they report their findings?

ESP

[Send updated checklist and policy revisions to OFINE@upsem.edu]

Refund Procedure Checklist

[Send updated checklist and procedure revisions to OFINE@upsem.edu]

1. Who is responsible for changes and updating published procedure:

Vice President for Enrollment Management and Student Services

2. Date procedure was initiated:

3. Latest revision date:

4. Schedule for reviewing procedure: **2014-2015; every three years**

5. Applicable Seminary constituencies:

Board ☐

Faculty ☐

Staff ☐

Students ☒

Other: _____

6. Notification of procedure review and revisions:

In which seminary publications should this procedure be referenced?

Board of Trustees Manual-in Blackboard ☐

Faculty Manual ☐

Employee Handbook ☐

Student Handbook ☒

UPSem Website ☐

[Send updated checklist and procedure revisions to OFINE@upsem.edu]

Intentionally Left Blank

Seminary Automobile and Insurance

Checklist

[Send updated checklist and policy revisions to OFINE@upsem.edu. Policies, procedures, and checklists are in Microsoft Word format on Blackboard in OFINE Course]

1. Who is responsible for changes and updating published policy:

Vice President of Finance and Administration

2. Date policy was initiated :

January 2015

3. Latest Revision date:

January 2015

4. Next review date:

AY2017-2018

5. Applicable Seminary constituencies:

Board ☒

Faculty ☒

Staff ☒

Students ☐

Other: _____

6. Notification of policy review and revisions:

- a. In which seminary publications should this policy be referenced:

Board of Trustees Manual-in Blackboard ☒

Faculty Manual ☐

Employee Handbook ☒

Student Handbook ☐

UPSem Website ☐

[Send updated checklist and policy revisions to OFINE]

Intentionally Left Blank

Sexual Misconduct Policy and Procedures

Checklist

[Send updated checklist and policy revisions to OFINE@upsem.edu]

Concise statement of the purpose of the policy:

The purpose of this sexual misconduct policy is (a) to articulate standards of behavior for the students, faculty, administrators, and staff of Union Presbyterian Seminary, as well as visitors to our campus, (b) to provide guidelines for the investigation of allegations of sexual misconduct, and (c) to identify a range of appropriate consequences for persons who engage in sexual misconduct, as defined by this policy.

1. Who is responsible for changes and updating published policy: **Vice president for Finance and Administration** --[Title IX officer – currently VP Finance & Administration]
2. Date policy was initiated:
3. Latest revision date: **Nov. 1, 2015**
4. Next review due: **2018-2019; every three years**
5. Applicable Seminary constituencies

Board	<input checked="" type="checkbox"/>
Faculty	<input checked="" type="checkbox"/>
Staff	<input checked="" type="checkbox"/>
Students	<input checked="" type="checkbox"/>

6. Notification of policy review and revisions:

In which seminary publications should this policy be referenced?

Board of Trustees Manual	<input checked="" type="checkbox"/>
<i>Faculty Manual</i>	<input checked="" type="checkbox"/>
<i>Employee Handbook</i>	<input checked="" type="checkbox"/>
<i>Student Handbook</i>	<input checked="" type="checkbox"/>
UPSem Website	<input checked="" type="checkbox"/>

Sexual Misconduct Policy & Procedures Checklist

7. Evaluating effectiveness of the policy and revising it

a. Who is responsible?

Vice President for Finance and Administration

b. Method of evaluating and revising.

Needs to be supplied by a. above

c. To whom do they report their findings?

ESP

[Send updated checklist and policy revisions to OFINE@upsem.edu]

Skype Room Guidelines Procedure

Checklist

[Send updated checklist and policy revisions to OFINE@upsem.edu. Policies, procedures, and checklists are in Microsoft Word format on Blackboard in OFINE Course]

1. Who is responsible for changes and updating published procedure:

VP for Community and Dean of Students

2. Date procedure was initiated:

3. Latest revision date: **June 2014**

4. Schedule for reviewing procedure: **2014-2015; every three years**

5. Applicable Seminary constituencies:

Board ☐

Faculty ☒

Staff ☒

Students ☒

Other: _____

6. Notification of procedure review and revisions:

In which seminary publications should this procedure be referenced?

Board of Trustees Manual-in Blackboard ☐

Faculty Manual ☐

Employee Handbook ☒

Student Handbook ☒

UPSem Website ☐

[Send updated checklist and procedure revisions to OFINE@upsem.edu]

Intentionally Left Blank

Smoking Policy

Checklist

[Send updated checklist and policy revisions to OFINE@upsem.edu]

Concise statement of the purpose of the policy:

Union Presbyterian Seminary recognizes that smoking is harmful not only to the smoker but also to nearby nonsmokers. The purpose of this policy is to protect the non-smoker while recognizing the rights of those who legally smoke.

1. Who is responsible for changes and updating published policy: **Community Life Committee**
2. Date policy was initiated:
3. Latest revision date: **June 2, 2015**
4. Next review due: **2017-2018; every three years**
5. Applicable Seminary constituencies

Board	<input checked="" type="checkbox"/>
Faculty	<input checked="" type="checkbox"/>
Staff	<input checked="" type="checkbox"/>
Students	<input checked="" type="checkbox"/>

6. Notification of policy review and revisions:

In which seminary publications should this policy be referenced?

Board of Trustees Manual	<input type="checkbox"/>
<i>Faculty Manual</i>	<input checked="" type="checkbox"/>
<i>Employee Handbook</i>	<input checked="" type="checkbox"/>
<i>Student Handbook</i>	<input checked="" type="checkbox"/>
UPSem Website	<input type="checkbox"/>

7. To whom do they report their findings?

ESP

7. Evaluating effectiveness of the policy and revising it

a. Who is responsible?

Community Life Committee

b. Method of evaluating and revising.

Needs to be supplied by a. above

c. To whom do they report their findings?

ESP

[Send updated checklist and policy revisions to OFINE@upsem.edu]

Social Media Policy

Checklist

[Send updated checklist and policy revisions to OFINE@upsem.edu]

Concise statement of the purpose of the policy:

The way we communicate has changed and become more interrelated. Union Presbyterian Seminary acknowledges the transformed landscape, seeks to utilize technological resources in the service of Christ's Church, but at the same time we recognize the risks posed by social media for our life together. Accordingly, we adopt the following communal expectations:

1. Who is responsible for changes and updating published policy: **Community Life Committee**
2. Date policy was initiated:
3. Latest revision date: **2010**
4. Next review due: **2014-2015; every three years**
5. Applicable Seminary constituencies

Board	<input checked="" type="checkbox"/>
Faculty	<input checked="" type="checkbox"/>
Staff	<input checked="" type="checkbox"/>
Students	<input checked="" type="checkbox"/>

6. Notification of policy review and revisions:

In which seminary publications should this policy be referenced?

Board of Trustees Manual	<input type="checkbox"/>
<i>Faculty Manual</i>	<input checked="" type="checkbox"/>
<i>Employee Handbook</i>	<input checked="" type="checkbox"/>
<i>Student Handbook</i>	<input checked="" type="checkbox"/>
UPSem Website	<input type="checkbox"/>

Social Media Policy Checklist

7. Evaluating effectiveness of the policy and revising it
 - a. Who is responsible?

Community Life Committee

- b. Method of evaluating and revising.

Needs to be supplied by a. above

- c. To whom do they report their findings?

ESP

[Send updated checklist and policy revisions to OFINE@upsem.edu]

Student Misconduct Policy

Checklist

[Send updated checklist and policy revisions to OFINE@upsem.edu. Policies, procedures, and checklists are in Microsoft Word format on Blackboard in OFINE Course]

Concise statement of the purpose of the policy:

The purpose of this policy is (a) to articulate standards of personal behavior for students of Union Presbyterian Seminary, (b) to provide guidelines for the investigation of allegations of personal misconduct, and (c) to identify a range of appropriate consequences for persons who engage in personal misconduct, as defined by this policy.

1. Who is responsible for changes and updating published policy:

Student Assessment and Awards Committee

2. Date policy was initiated : January 22, 2015

3. Latest Revision date: January 22, 2015

4. Next review due: **AY 2017-2018**

5. Applicable Seminary constituencies

Board ☐

Faculty ☐

Staff ☐

Students ☒

6. Notification of policy review and revisions:

- a. In which seminary publications should this policy be referenced:

Board of Trustees Manual-in Blackboard ☐

Faculty Manual ☐

Employee Handbook ☐

Student Handbook ☒

UPSem Website ☐

7. Evaluating effectiveness of the policy and revising it
 - a. Who is responsible?
 - b. Method of evaluating and revising.
 - c. Who do they report findings to?

[Send updated checklist and policy revisions to OFINE]

Student Wage Scale Procedure

Checklist

[Send updated checklist and policy revisions to OFINE@upsem.edu. Policies, procedures, and checklists are in Microsoft Word format on Blackboard in OFINE Course]

1. Who is responsible for changes and updating published policy:
Vice President of Finance and Administration

2. Date policy was initiated : **10/30/2012**

3. Latest Revision date: **June 2016**

4. Next review due: **2018-2019, every 3 years**

5. Applicable Seminary constituencies

Board ☐

Faculty ☐

Staff ☒

Students ☒

6. Notification of policy review and revisions:

7. Evaluating effectiveness of the policy and revising it

a. Who is responsible?

b. Method of evaluating and revising.

c. Who do they report findings to?

[Send updated checklist and policy revisions to OFINE]

Intentionally Left Blank

Students with Learning Disabilities Policy

Checklist

[Send updated checklist and policy revisions to OFINE@upsem.edu]

Concise statement of the purpose of the policy:

This policy is designed to enhance the educational environment for learning disabled students who show promise for effective ministry and to provide information that will help learning disabled students evaluate the feasibility of studying at Union Presbyterian Seminary.

1. Who is responsible for changes and updating published policy: **Academic Program Committee**
2. Date policy was initiated:
3. Latest revision date: **April 2009**
4. Next review due: **2014-2015; every three years**
5. Applicable Seminary constituencies

Board	<input type="checkbox"/>
Faculty	<input checked="" type="checkbox"/>
Staff	<input type="checkbox"/>
Students	<input checked="" type="checkbox"/>

6. Notification of policy review and revisions:

In which seminary publications should this policy be referenced?

Board of Trustees Manual	<input type="checkbox"/>
<i>Faculty Manual</i>	<input checked="" type="checkbox"/>
<i>Employee Handbook</i>	<input type="checkbox"/>
Student Handbook	<input checked="" type="checkbox"/>
UPSem Website	<input type="checkbox"/>

Students with Learning Disabilities Policy Checklist

7. Evaluating effectiveness of the policy and revising it

a. Who is responsible?

Academic Program Committee

b. Method of evaluating and revising.

Needs to be supplied by a. above

c. To whom do they report their findings?

ESP

[Send updated checklist and policy revisions to OFINE@upsem.edu]

Substance Abuse Prevention Policy

Checklist

[Send updated checklist and policy revisions to OFINE@upsem.edu]

Concise statement of the purpose of the policy:

In compliance with federal regulations, Union Presbyterian Seminary prohibits the unlawful use, possession, and distribution of illicit drugs and alcohol on campus and at school activities. Illegal conduct by a student should be reported to the dean of students. Illegal conduct by an employee should be reported to the vice president for administration.

1. Who is responsible for changes and updating published policy: **Vice President for Finance and Administration**
2. Latest revision date: not stated
3. Next review due: **AY2014-2015; every three years**
4. Applicable Seminary constituencies

Board	<input type="checkbox"/>
Faculty	<input checked="" type="checkbox"/>
Staff	<input checked="" type="checkbox"/>
Students	<input checked="" type="checkbox"/>

6. Notification of policy

In which seminary publications should this policy be referenced?

Board of Trustees Manual	<input type="checkbox"/>
Faculty Manual	<input type="checkbox"/>
Employee Handbook	<input checked="" type="checkbox"/>
Student Handbook	<input checked="" type="checkbox"/> currently in

Substance Abuse Prevention Policy Checklist

7. Evaluating effectiveness of the policy and revising it

a. Who is responsible?

Community Life Committee

b. Method of evaluating and revising.

Needs to be supplied by a. above.

c. To whom do they report their findings?

ESP

[Send updated checklist and policy revisions to OFINE@upsem.edu]

Use of Facilities Procedure – Charlotte Checklist

[Send updated checklist and procedure revisions to OFINE@upsem.edu]

1. Who is responsible for changes and updating published procedure:
Dean of Charlotte

2. Date procedure was initiated:

3. Latest revision date: **12/3/2013**

4. Next review date: **2014-2015; every three years**

5. Applicable Seminary constituencies:

Board ☐

Faculty ☒

Staff ☒

Students ☒

Other: _____

6. Notification of procedure review and revisions:

In which seminary publications should this procedure be referenced?

Board of Trustees Manual-in Blackboard ☐

Faculty Manual ☐

Employee Handbook ☐

Student Handbook ☐

UPSem Website ☐

[Send updated checklist and procedure revisions to OFINE@upsem.edu]

Intentionally Left Blank

Use of Facilities Procedure

Richmond -- Lake Chapel

Checklist

[Send updated checklist and procedure revisions to OFINE@upsem.edu]

1. Who is responsible for changes and updating published procedure:
Vice President for Finance and Administration, Registrar

2. Date procedure was initiated : **2009**

3. Latest Revision date:

4. Next review date: **2014-2015; every three years**

5. Applicable Seminary constituencies:

Board ☒

Faculty ☒

Staff ☒

Students ☒

Other: _____

6. Notification of procedure review and revisions:

In which seminary publications should this procedure be referenced?

Board of Trustees Manual-in Blackboard ☐

Faculty Manual ☐

Employee Handbook ☐

Student Handbook ☐

UPSem Website ☐

[Send updated checklist and procedure revisions to OFINE@upsem.edu]

Intentionally Left Blank

Use of Facilities Procedure

Richmond--Watts Chapel

Checklist

[Send updated checklist and procedure revisions to OFINE@upsem.edu]

1. Who is responsible for changes and updating published procedure:
Vice President for Finance and Administration, Registrar

2. Date procedure was initiated :

3. Latest Revision date: **2011**

4. Next review date: **2014-2015; every three years**

5. Applicable Seminary constituencies:

Board ☒

Faculty ☒

Staff ☒

Students ☒

Other: _____

6. Notification of procedure review and revisions:

In which seminary publications should this procedure be referenced?

Board of Trustees Manual-in Blackboard ☐

Faculty Manual ☐

Employee Handbook ☐

Student Handbook ☐

UPSem Website ☐

[Send updated checklist and procedure revisions to OFINE@upsem.edu]

Intentionally Left Blank

Violence in the Workplace

Checklist

[Send updated checklist and policy revisions to OFINE@upsem.edu. Policies, procedures, and checklists are in Microsoft Word format on Blackboard in OFINE Course]

1. Who is responsible for changes and updating published policy:

Vice President for Finance and Administration

2. Date policy was initiated : December 2014

3. Latest Revision date: December 2014

4. Next review date: AY 2017-18

5. Applicable Seminary constituencies:

Board ☐

Faculty ☒

Staff ☒

Students ☐

Other: _____

6. Notification of policy review and revisions:

- a. In which seminary publications should this policy be referenced:

Board of Trustees Manual-in Blackboard ☐

Faculty Manual ☐

Employee Handbook ☒

Student Handbook ☐

UPSem Website ☐

[Send updated checklist and policy revisions to OFINE]

Intentionally Left Blank

Whistleblower Protection / Speak Up Policy

Checklist

[Send updated checklist and policy revisions to OFINE@upsem.edu]

Concise statement of the purpose of the policy:

Union Presbyterian Seminary (UPSEM) is committed to maintaining the highest standards of honesty, integrity and ethical, moral and legal conduct. In line with that commitment, we expect faculty, staff, volunteers and other members of the UPSEM community to abide by state and federal laws and to conduct all academic, business, religious and financial affairs of the Seminary in an ethical and nonfraudulent manner.

1. Who is responsible for changes and updating published policy: **Vice President for Finance and Administration**
2. Date policy was initiated: **August 2013**
3. Latest revision date: **May 2016**
4. Next reviews due: **2019-2020; every three years**
5. Applicable Seminary constituencies

Board	<input checked="" type="checkbox"/>
Faculty	<input checked="" type="checkbox"/>
Staff	<input checked="" type="checkbox"/>
Students	<input checked="" type="checkbox"/>

6. Notification of policy review and revisions:

In which seminary publications should this policy be referenced?

Board of Trustees Manual	<input type="checkbox"/>
<i>Faculty Manual</i>	<input checked="" type="checkbox"/>
<i>Employee Handbook</i>	<input checked="" type="checkbox"/>
<i>Student Handbook</i>	<input checked="" type="checkbox"/>
UPSem Website	<input type="checkbox"/>

Whistleblower Protection / Speak Up Policy Checklist

7. Evaluating effectiveness of the policy and revising it

a. Who is responsible?

Vice President for Finance and Administration

b. Method of evaluating and revising.

Needs to be supplied by a. above

c. To whom do they report their findings?

ESP

[Send updated checklist and policy revisions to OFINE@upsem.edu]