

**SIMPSON COLLEGE FACULTY HANDBOOK**  
**PART III: PERSONNEL PROCEDURES**

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## SIMPSON COLLEGE FACULTY HANDBOOK PART III: PERSONNEL PROCEDURES

### SECTION 1: PROCEDURES FOR INITIAL APPOINTMENT

The information contained in this section describes the procedures approved by the faculty, board of trustees and administration for the purpose of appointment, evaluation, tenure, promotion and other personnel-related issues for faculty at Simpson College. They have been designed to ensure academic due process. The procedures outlined herein work in tandem with the policies outlined in Simpson College Faculty Handbook Part II: Personnel Policies. Other important policies that apply to all employees of the college, including the college's nondiscrimination and harassment policies, may be found on the college's website: <https://simpson.edu/internal/human-resources/employee-handbook>

#### **1.1.0 Criteria for Initial Full-Time Appointments** *(revised 02/07/2020 board meeting)*

Normally, full-time appointment to the faculty is made by the academic dean in consultation with the department. The criteria for initial full-time appointment are listed in Simpson College Faculty Handbook Part II: Personnel Policies, Section 3.

#### **1.2.0 Teaching Specialist Contracts** *(added 02/07/2020 board meeting)*

Normally, initial teaching specialist appointment to the faculty is made by the academic dean in consultation with the department. The criteria for initial appointment are listed in Simpson College Faculty Handbook Part II: Personnel Policies, Section 3.

Persons holding teaching specialist contracts are *not eligible* for tenure. In general, holders of such contracts will perform specific types of teaching duties not necessarily associated with traditional classroom teaching. Teaching specialist contracts may include but are not limited to librarians, lab instructors, clinical faculty, departmental internship coordinators, media specialists and vocal and instrumental music specialists.

Incumbents of all such positions hold full faculty status pertaining to voting privileges and serve on committees for which they are eligible. Holders of such positions are expected to hold normal minimal professional credentials as defined by the academic dean in consultation with the department.

The incumbent of such a position will normally be hired initially on a series of one-year contracts for the first three years under the conditions of evaluation and notification of contract continuance or termination designed for all faculty. Following this three-year period, an incumbent of this position may be offered an extended three-year contract (generally renewable, as a three-year contract). When determined to be appropriate by the academic dean and department chair, a three-year contract may be offered as an initial appointment. Appropriate evaluation procedures continue during the extended contract period, and the incumbent will be subject to normal expectations of the maintenance of professional skills and performance of responsibilities as described in the criteria developed for the position and included in the individual's personnel file in the dean's office.

Holders of teaching specialist contracts are not eligible for appointment or promotion to the ranks of associate or professor. Teaching specialist faculty hired in the rank of

instructor may receive promotion to assistant professor upon the completion of a terminal degree or upon the completion of five years of continuous service by action of the FPC.

If the college determines a position filled with a specialist teaching contract should be filled with regular faculty contract, the holder of the contract may or may not be considered for the tenure track appointment. Should such an appointment be made, eligibility for tenure begins simultaneously with the beginning of the tenure-track contract unless included in the initial contract at the time of hire.

### 1.3.0 Research Fellow (*added 05/13/2016 board meeting contingent on approval of the faculty at the faculty meeting 05/23/2016*)

Normally, research fellows will be appointed at the request of an academic department. The academic department chair will present the request to the academic dean and provide a description of the proposed work of the research fellow, a description of the potential benefits to the college, and the proposed compensation, if any. The department will also provide the vitae of the person nominated and any other materials which might be helpful to the academic dean in making her or his decision.

All research fellow appointments will be communicated in writing, have a defined length of term, include if appropriate academic rank, and provisions and conditions for renewal and termination. The research fellow will submit an annual report of activities to the department chair and academic dean. The report should also include a formal request for reappointment, if appropriate.

In addition to privileges outlined in the specific contract and those described in Part V, Section 3.14.0 of the Faculty Handbook, research fellows will have those privileges consistent with those accorded Faculty Emeriti and described in Part V, Section 3.1.0 of the Faculty Handbook.

### 1.4.0 Professors Emeriti (*revised 10/14/2016 board meeting*)

At the end of the academic year in which a faculty member who is at least 55 years of age and has held a full-time appointment at the college for at least ten of the preceding thirteen years retires from teaching, he/she will be eligible and automatically nominated for emeritus status. The appointment is made by the president of the college upon the recommendation of the academic dean and the FPC. If the recommendation of the dean or the decision of the president is negative, the faculty member may appeal the decision to the FPC. Notification of appointment to emeritus status shall be sent to the retiring faculty member no later than the end of May during the final year of employment. Current privileges of such an appointment may be found in Simpson College Faculty Handbook Part V: Information.

## **SECTION 2: PROCEDURES FOR FORMATIVE REVIEW AND REAPPOINTMENT OF PROBATIONARY, REGULAR FACULTY**

The review, evaluation and reappointment for all full-time probationary tenure-track faculty will be conducted using the following procedures. The chair of the department, with the help of a review committee created for the purpose, conducts a **formative** evaluation of faculty in their first, second, fourth and fifth years. The FPC conducts the mid-probationary (third-year) review, the tenure review, all promotion reviews, and all

post-tenure reviews. All committee members will be held to a high level of confidentiality regarding the process and outcome of the review.

The file created for reappointment described in this section is open to the candidate, the members of the FPC, the chair of the department, members of the annual review committee, the division head, the academic dean and the president of the college. The documents submitted for the files are the property of the college.

### **2.1.0 Formative Review**

Formative review for full-time regular probationary faculty in years one, two, four, and five is conducted by the department chair with a committee assembled for the purpose. The formative review normally takes place in the spring of each year.

The three-person review committee consists (when possible) of the department chair, a tenured faculty member from the department and one tenured faculty member from outside the department. If a tenured faculty member in the department is not available, a second tenured faculty member from within the division of the faculty member may be appointed. (Note: The role of the department chair is not dependent on tenure; it is then reasonable that a non-tenured department chair will conduct reviews.)

Recognizing that the college is small, situations may arise that are not covered by these procedures (e.g. a three-person department without tenured faculty members or non-tenured department chair up for review). In these situations, FPC and the dean will make the final decision of the makeup of the committee. Information regarding the policy regarding conflict of interest for committee participation may be found on the college's website: <https://simpson.edu/system/files/2019-08/Conflict%20of%20Interest%20Guidelines%20July%202007%20updated%20Feb%202012.pdf>

### **2.1.1 Timing and Procedures**

#### **2.1.1.1 The Semester Before a Formative Review**

- a. The department chair meets with the person being reviewed and they determine provisional dates of the review. They also discuss possible members of the review committee.
- b. The person being reviewed provides the chair with the names of three possible tenured faculty members from outside the department and up to three tenured faculty members from within the department.
- c. The department chair then selects the members of the review committee, finalizes dates of review and informs the person being reviewed.

#### **2.1.1.2 The Semester of a Formative Review**

- a. A file is created in the academic dean's office. As part of all regular reviews, the chair of FPC will announce the review. Signed letters will be accepted for the candidates file in the academic dean's office. The letters should address the criteria for reappointment, promotion and tenure as stated in Simpson College Faculty Handbook Part II: Personnel Policies, Section 7. (See Simpson College Faculty Handbook Part VII: Appendix B for details regarding the guidelines.)

- b. A file is created in the academic dean's office to hold these letters. The file includes the candidate's teaching evaluations, and all letters submitted during the process. The candidate will write a self-evaluation and submit a current vita and syllabi for the file. The candidate will be permitted to review the file.
- c. The first meeting of the review committee is organizational. The committee reviews the conflict of interest policy and organizes class visits.
- d. Each member of the committee sits in on at least one class, individually interviews the candidate, and reviews the file.
- e. If, based on the evidence in the current review, the review committee deems it useful, committee members may consult the file containing formative review material from previous years of the person being reviewed in the academic dean's office.
- f. At the second meeting, the review committee discusses the substance of the letter that will summarize its findings. The department chair drafts the formal letter and, after approval by members of the committee, sends it to the candidate. The letter should address the four criteria outlined in Simpson College Faculty Handbook Part II: Personnel Policies, Section 7 on teaching, advising, professional development and service. The letter should focus on the materials gathered through the review process and found in the file.
- g. After the person being reviewed receives the letter, the chair schedules a meeting with the review committee so that the person being reviewed may respond. After the meeting, the review committee may or may not choose to revise the letter as it deems appropriate.
- h. The final formative letter is included in the file of the person being reviewed in the academic dean's office.

### **2.2.0 Reappointment for Probationary, Regular Faculty**

The department chair and division head conduct a review for the purpose of reappointment of all probationary, regular faculty in their first, second, fourth and fifth years.

- a. The chair writes a letter regarding reappointment. It is based on the formative review. In addition, the chair should seek the opinions of all tenured members of the department regarding the reappointment of the candidate.
- b. The chair will create a letter regarding reappointment of the candidate that summarizes the work of the candidate and the view of the department. In writing the reappointment letter, the department chair is speaking on behalf of the department. In a situation where the view of the department chair is contrary to the others in the department, the chair must clearly delineate her or his opinion from that of other faculty members.
- c. The department chair shares the reappointment letter with the candidate before sending it to the division head and allows the candidate a chance to respond. The department chair may or may not revise the letter as she or he deems appropriate before sending it to the division head.
- d. The chair then sends the reappointment letter to the division head.
- e. The division head reviews the letter, sits in on at least one class, and personally interviews the candidate. The division head makes sure that the process has been followed and that the department chair's recommendation is consistent with the evidence. The division head follows up on any problems or irregularities in the process that he or she identifies.

- f. The division head submits her or his reappointment letter with the reappointment letter from the department chair to the academic dean.
- g. The academic dean makes a recommendation to the president of the college, who makes the final decision.
- h. The academic dean meets with the faculty member to share the final decision regarding reappointment and writes a concluding statement for the file.
- i. A decision against reappointment will be reviewed by the Faculty Personnel Committee upon the written request of the faculty member. The request must be sent to the chair of the FPC within 30 days of the faculty member receiving the negative reappointment decision.

**SECTION 3: PROCEDURES FOR ANNUAL REVIEW, REAPPOINTMENT, AND CONTRACT TERMINATION OF FULL-TIME TERM CONTRACT AND TEACHING SPECIALIST FACULTY** *(revised 02/07/2020 board meeting)*

**3.1.0 Performance Criteria**

Each full-time term contract and teaching specialist position has its own set of performance criteria determined at the time of hire by the department chair, division head and academic dean. These criteria are included in the contracts issued to fill these positions. They are also listed in the personnel file associated with each contract, which is held in the academic dean's office.

**3.1.1 Timing and Procedures for the review**

Evaluations are conducted by the department chair, and are overseen by the division head and academic dean. These evaluations are intended to provide feedback on performance as well as making a recommendation about reappointment. The review normally takes place in the spring of each year, and is based upon the contents of the file held in the academic dean's office.

**3.1.1.1 The Semester Before Review**

The Academic Dean shall provide the chair of FPC with a list of all candidates for this kind of review. The chair of FPC shall announce these names together with those of faculty undergoing the regular review process. In addition, the department chair shall encourage all tenured members of the department to write letters for the file.

All signed letters shall be filed in the academic dean's office. They should address the criteria established for the position at the time of hire.

**3.1.1.2 The Semester of Review**

Access to the personnel file is described in part III, section 12.1.0. At the beginning of the review process, each file shall include:

- Performance criteria
- Student evaluations
- Signed letters
- The candidate's current vita
- A written self-evaluation from the candidate that addresses performance criteria
- Current syllabi (if the criteria include teaching courses)

The letter from the department chair shall summarize the file and the work of the candidate. In preparation for writing this letter, the chair shall review all of the information in the file and, for positions with teaching responsibilities, visit at least one class. The letter shall include a recommendation regarding reappointment based upon the criteria developed for the specific position. The chair shall share the letter with the candidate. Afterward, the candidate may respond to the chair. Subsequently, the chair may opt to revise the letter. The final draft of the chair's letter is placed in the file in the academic dean's office.

After it is placed in the file, the chair's letter is reviewed by the division head who ensures that the process has been followed and that the department chair's recommendation is consistent with the evidence and criteria. The division head then writes a letter and delivers it to the candidate, department chair, and the academic dean's office.

After reviewing all these materials, the academic dean makes a recommendation regarding reappointment to the president of the college, who makes the final decision. After this decision is made, the academic dean meets with the candidate to share the final decision regarding reappointment. Afterwards, the academic dean writes a concluding statement for the file.

### **3.1.2 Appeals to FPC**

If a decision is made against reappointment, the candidate may request a hearing by FPC. The candidate must submit such a request to the chair of FPC within 30 days of the meeting with the academic dean described above. FPC's recommendation regarding this appeal goes to the candidate, department chair, division head, academic dean, and president.

### **3.1.3 Reviews of Teaching Specialist Faculty**

- a. After a six-year annual review probationary period (as per Part III Section 3.1.0), department chairs may ask the Faculty Personnel Committee to move teaching specialist instructors in their departments to a three-year rotating review schedule. The Academic Dean and President must approve this transition.
- b. Years 1 and 2: The teaching specialist faculty member shall meet with the department chair to discuss their performance as measured by the criteria established for their position. The department chair shall write a brief summary of the meeting for the instructor's personnel file, which is held in the office of the Academic Dean.
- c. Year 3: A comprehensive review shall be conducted as outlined in Part III Section 3.1.1.1., 3.1.2.

**Note** that this does not change the employment status of these instructors; they remain on annual contracts.

### **3.2.0 Contract Termination**

Full-time term contracts and teaching specialist faculty hold term contracts. The conditions of employment, including the length of the term of employment are specified

in writing at the time of appointment. There is no representation by the college of continuing employment past the date specified in the contract.

- a. Individuals holding these contracts will normally be given notice of their reappointment in writing not later than March 1 of the contract year. If notice is not given by that date, the contract will expire without notice at the date stipulated in the contract.
- b. In the case of gross misconduct or miscarriage of professional responsibility, an incumbent may be terminated at any time during the contract period on thirty days' written notice, or thirty days' pay in lieu of such written notice.

#### **SECTION 4: PROCEDURES FOR MID-PROBATIONARY (THIRD-YEAR) REVIEW AND REAPPONTMENT** *(revised 02/03/2012 board meeting)*

The FPC conducts the review for faculty midway to tenure. Normally, this will happen in the third year of appointment for faculty with a six-year probationary appointment. If a faculty member is hired with one or more years of previous service credited towards his/her tenure review, the midway review will take place in the year that is half-way to their tenure year. For example, a faculty member given three years' credit towards tenure would be reviewed in his/her second year of service.

The FPC will appoint one of its members to chair the review committee for the faculty member under mid-probationary review. Each faculty member under review will have a different review committee. Whenever possible, the FPC member chairing the review committee will not be a member of the division of the faculty member under review.

The file created for mid-probationary review described in this section is open to the candidate, the members of the FPC, the members of the review committee, the chair of the department, the division head, the academic dean and the president of the college. The documents submitted for the files are the property of the college.

#### **4.1.0 Evaluation Procedures for Faculty Midway to Tenure**

##### **4.1.1 Timing and Procedures**

###### **4.1.1.1 The Semester Before the Review** *(revised 02/03/2012 board meeting)*

- a. The designated FPC member meets with the candidate to determine dates of the review, and membership of the review committee.
- b. The review committee consists of the FPC member, the department chair, division head and one tenured faculty member from outside the department. If the faculty member under review is serving as the department chair and/or the division head, a tenured faculty member from the candidate's department (or division, if the department lacks a tenured faculty member) will serve on the review committee. The selection of that tenured faculty member will be made by the Review Committee Chair. The review committee is chaired by the FPC member.
- c. The person under review provides the review committee chair with the names of three tenured faculty members from outside the department, one of whom will be asked by the review committee chair to serve on the review committee.

If the faculty member under review wants to include an outside evaluator as a part of the review process, she or he will provide the review committee chair with the names of three faculty members within the discipline at other institutions, one of whom will be asked by the review committee chair to serve as an off-campus evaluator.

- d. If an off-campus evaluator is used, their role will be to provide the review committee an objective evaluation of the faculty member under review using the accepted criteria for tenure and promotion. The evaluation will be based on a review of the materials in the file and evidence gathered during a campus visit. The selection of the outside evaluator and campus visit will be governed by guidelines approved by the FPC (see Simpson College Faculty Handbook Part VII: Appendix C).

#### **4.1.2 The Semester of the Review**

- a. A file is created in the academic dean's office. As part of all regular reviews, the chair of FPC will announce the review. Signed letters will be accepted for the candidates file in the academic dean's office. The letters should address the criteria for reappointment, promotion and tenure as stated in Simpson College Faculty Handbook Part II: Personnel Policies, Section 7. (See Simpson College Faculty Handbook Part VII: Appendix B for details regarding the guidelines.) The FPC chair also announces the deadline for the closing of the file.
- b. A file is created in the academic dean's office to hold these letters. The file includes the candidate's current vita, teaching evaluations, and all letters submitted during the process. The candidate will write a self-evaluation and submit a current vita and syllabi for the file. The candidate will be permitted to review the file.
- c. The first meeting of the review committee is organizational. The committee reviews the conflict of interest policy and organizes class visits.
- d. Each member of the committee sits in on at least one class, individually interviews the candidate and reviews the file.
- e. If an off-campus evaluator is used, the committee chair arranges for the visit of the off-campus evaluator. The evaluator summarizes her or his findings and sends a letter to the review committee for inclusion in the file.
- f. At the second meeting, the review committee discusses the substance of the letter that will summarize its findings. The committee chair drafts the formal letter and, after approval by members of the committee, sends it to the candidate. The letter should address the four criteria outlined in Simpson College Faculty Handbook Part II: Personnel Policies, Section 7 on teaching, advising, professional development and service. The letter should focus on the materials gained through the review process and found in the file.
- g. Once the candidate has received the letter, a meeting with the committee is scheduled so that the faculty member has an opportunity to respond to it. After the meeting, the committee may or may not revise the letter as it deems appropriate.
- h. The letter is submitted to the FPC.
- i. The FPC reviews the file, meets with the candidate and makes recommendation regarding reappointment for the following year of the faculty member to the academic dean.

- j. The academic dean makes a recommendation to the president of the college, who will then make the decision. The academic dean shares the decisions of the FPC, the dean, and the president in a personal meeting with the faculty member and writes a concluding statement for the candidate's personnel file. The concluding statement is shared with the candidate and with the FPC.
- k. A decision against reappointment will be reviewed by the FPC upon the written request of the faculty member. The request must be sent to the chair of the FPC within 30 days of the faculty member receiving the negative reappointment decision.

## **SECTION 5: PROCEDURES FOR TENURE**

The FPC conducts the tenure review. Normally, this is in the sixth year of full-time service unless specified otherwise in the faculty member's contract.

The file created for tenure described in this section is open to the candidate, the members of the FPC, the chair of the department, the division head, the academic dean, the president of the college, and the board of trustees. The documents submitted for the files are the property of the college.

### **5.0.0 Procedures for Tenure Review**

#### **5.1.0 Timing and Procedures**

##### **5.1.1 The Semester Before the Review** *(revised 05/20/2022 board meeting)*

- a. The chair of the FPC meets with all candidates and outlines the process.
- b. Department Chairs brief the candidate on the expectations for the self-evaluation.
- c. Candidates solicit letters from two tenured colleagues from the College.
- d. Candidates provide the Academic Dean with the names of five tenured faculty members in the same discipline from other institutions as candidates for the outside evaluator.

##### **5.1.1.1 The Semester of the Tenure Review** *(revised 05/20/2022 board meeting)*

- a. A file is created in the Academic Dean's office. As part of all regular reviews, the chair of FPC will announce the review. Letters from the Simpson community should address the criteria for reappointment, promotion and tenure as stated in Simpson College Faculty Handbook Part II: Personnel Policies, Section 7. (See Simpson College Faculty Handbook Part VII: Appendix B for details regarding the guidelines.) The FPC chair also announces the deadline for the closing of the file.
- b. The file will contain all materials related to the process, including:
  - General supporting materials
    - the candidate's current vita,
    - the candidate's current syllabi,
    - a self-evaluation, 8 – 10 pages long,
    - student evaluations,
    - one or two artifacts that demonstrate achievement in professional development and scholarship,

- other letters submitted (not required or solicited)
- Letters from Simpson faculty
  - two letters requested from tenured faculty colleagues,
  - Letters from the department chair, the division head, and each tenured member of the department.
- Letters from off-campus,
  - a report from an off-campus faculty member within the discipline who has evaluated the candidate on campus, or virtually, if necessary. (For details on outside evaluator report, see Simpson College Faculty Handbook Part VII: Appendix F for guidelines.),
  - the candidate has the option to include up to two additional letters of support requested from off-campus colleagues within the discipline.
- c. The department chair, the division head and each tenured faculty member in the department is expected to write a letter for the file. Letters should speak to the criteria for promotion listed in Simpson College Faculty Handbook Part II: Personnel Policies, Section 7.
- d. Two members of the FPC visit the candidate's classes and interview the candidate.
- e. Upon the closing of the file, the FPC meets with the candidate.
- f. The FPC bases its decision on the information collected for the review and the materials contained in the file. FPC may request additional information.
- g. The FPC makes a recommendation to the academic dean. The academic dean makes a recommendation to the president of the college, who makes a recommendation to the board of trustees, who make the decision.
- h. The academic dean shares the decisions of the FPC, the dean, the president, and the board of trustees with the faculty member in a personal meeting and writes a concluding statement for the candidate's personnel file. The concluding statement is shared with the candidate and with the FPC.
- i. A decision against tenure will be reviewed by the Faculty Personnel Committee upon the written request of the faculty member. The request must be sent to the chair of the FPC within 30 days of the faculty member receiving the negative reappointment decision.

## **SECTION 6: PROCEDURES FOR PROMOTION**

### **6.1.0 Eligibility for Promotion is Determined by the Policies Outlined in Simpson College Faculty Handbook Part II: Personnel Policies, Section 7.**

The file created for promotion described in this section is open to the candidate, the members of the FPC, the chair of the department, the division head, the academic dean, the president of the college, and the board of trustees. The documents submitted for the files are the property of the college.

### **6.1.1 Timing and Procedures**

#### **6.1.1.1 The Semester of the Review** *(revised 05/15/2020 board meeting)*

- a. A file is created in the academic dean's office. As part of all regular reviews, the chair of FPC will announce the review. Signed letters will be accepted for

the candidates file in the academic dean's office. The letters should address the criteria for reappointment, promotion and tenure as stated in Simpson College Faculty Handbook Part II: Personnel Policies, Section 7. (See Simpson College Faculty Handbook Part VII: Appendix B for details regarding the guidelines.) The FPC chair also announces the deadline for the closing of the file.

- b. The file will contain all materials related to the process, including,
  - the candidate's current vita,
  - the candidate's current syllabi,
  - a self-evaluation,
  - two letters requested from faculty colleagues in regular appointments on campus,
  - student evaluations,
  - the candidate has the option to include two letters requested from off-campus colleagues within the discipline, and other letters submitted. (See Simpson College Faculty Handbook Part VII: Appendix B for guidelines.)
- c. The department chair, the division head and each tenured faculty member in the department is expected to write a letter for the file. Letters should speak to the criteria for promotion listed in Simpson College Faculty Handbook Part II: Personnel Policies, Section 7.
- d. Two members of the FPC visit the candidate's classes, meet with the department full-time faculty non-letter writers, and interview the candidate.
- e. Upon the closing of the file, the FPC meets with the candidate.
- f. The FPC bases its decision on the information collected for the review and the materials contained in the file. FPC may request additional information from the candidate.
- g. The FPC makes a recommendation to the academic dean. The academic dean makes a recommendation to the president of the college, who makes the decision.
- h. The academic dean shares with the faculty member the decisions of the FPC, the dean, and the president in a personal meeting and writes a concluding statement for the candidate's personnel file. The concluding statement will be shared with the candidate and with the FPC.
- i. A negative decision may be reviewed by the Faculty Personnel Committee upon the written request of the faculty member. The request must be sent to the chair of the FPC within 30 days of the faculty member receiving the negative reappointment decision.

### **6.2.0 Procedures for Promotion to Associate Professor at the Time of Tenure**

- a. Faculty members nominated for tenure while at the rank of assistant professor are automatically nominated for promotion to associate professor.
- b. The procedures for tenure outlined in Simpson College Handbook Part III: Personnel Procedures, Section 5 will be used for determining the promotion to associate professor.
- c. The decision to recommend promotion to associate professor is separate from and is contingent upon the granting of tenure.
- d. Normally, the FPC bases its decision to recommend promotion to associate professor solely on the information collected for the tenure review. When it

deems it appropriate, the FPC may seek additional information to augment that collected for the tenure review.

## **SECTION 7: PROCEDURES FOR POST-TENURE REVIEW**

*(revised 04/14/2021 faculty meeting)*

Tenured faculty (unless otherwise evaluated for promotion) will be evaluated by the same instruments and procedures every fifth year of consecutive service. Tenured faculty will be evaluated using:

- a self-evaluation (addressing teaching, advising, professional development, and service to the college)
- two peer evaluation letters,
- chairperson's or other designated supervisor's evaluation letter, and
- an interview with the FPC.

The goals and objectives to be addressed in the self-evaluation materials are stated in Simpson College Faculty Handbook Part II: Personnel Policies Section 7. Student evaluations along with any other supporting documentation may be included in the self-evaluation sent to the chairperson or other designated supervisor, the FPC, and the academic dean. Other appropriate supporting documentation might include a post-sabbatical report and the resulting letter from FPC, copies of grant proposals, letters from outside collaborators, etc. Supervisors will meet with the faculty to discuss the criteria addressed. Chairpersons' evaluations are presented to the FPC, the dean and the evaluated faculty. Peer evaluations are required by at least two persons nominated by the faculty member being evaluated. The peer evaluations are to assist the faculty member in continuing to pursue professional development and improve performance.

If the evaluated faculty is a chairperson, a tenured member of the faculty (from within the same department as the faculty member under review, if possible) should be invited to serve as peer evaluator, in addition to the two faculty members from outside the department.

The FPC review process will usually include an interview with the faculty member during or after the evaluation process. Upon completion of the process, the FPC recommendations shall be forwarded to the academic dean and a summary of the FPC concerns and recommendations shall be forwarded to the faculty member. The academic dean may, at his or her discretion, respond to the FPC and the faculty member regarding the review.

## **SECTION 8: PROCEDURES FOR SABBATICAL REVIEW**

### **8.1.0 Sabbatical Leave** *(revised 02/04/2011 board meeting)*

As time and resources allow, all tenured faculty with at least six years of service at Simpson College, regardless of rank and including the president of the college and the deans of the college, who have not recently had extensive leave on any basis, may apply for sabbatical leave during the following academic year, subject to the following conditions:

- Application has been made by the third Friday in September prior to the intended sabbatical year.

- The applicant will have completed six years of full-time service on the Simpson faculty by the date of the sabbatical.
- The sabbatical proposal has been determined to meet adequate standards consistent with responsibilities of the application and the needs of the college, and has been approved by the president and the board of trustees after consultation with the faculty member, head of the department, dean for academic affairs, and the faculty personnel committee.

All such leaves shall be subject to the following options and conditions:

- The faculty member is expected to file a written report of the sabbatical accomplishments and activities with the dean's office and the faculty personnel committee within sixty days of the terminal date of the leave.
- The faculty member is expected to return to teaching duties at Simpson for at least one year following the sabbatical, unless the faculty member and the college have mutually agreed to an understanding contrary to this expectation.
- A sabbatical leave may be granted for either a fall or spring semester with full salary, or for a full year at one-half salary.
- Semester sabbatical leaves may include the May term upon application, provided such a leave does not involve release from more than one-half of the normal twenty-four semester hour yearly teaching load requirement.
- Sabbatical leave periods count toward the requirements for promotion to the next academic rank.
- Staff health and life insurance benefits continue. Retirement benefits are based upon actual compensation during the sabbatical period.

After a sabbatical leave, a faculty member or administrator (as defined above) may, after six years of full-time service at Simpson, become eligible again for a sabbatical leave. A leave of absence (see below) does not count toward eligibility for a sabbatical leave. Once one is eligible for a sabbatical leave, the eligibility is sustained annually until one undertakes the sabbatical leave.

### **8.2.0 Leaves of Absence**

The college administration and trustees endeavor, whenever possible, to grant leave of absence without pay upon request, but the time spent on the leave usually shall not count toward the time necessary for earning tenure and/or promotion. Staff benefits usually do not continue during a leave of absence. Medical insurance coverage, however, may be negotiated with the college administration.

Leaves of absence with partial pay may be granted if the circumstances warrant this action, but the time spent in this status usually shall not count toward the time required for tenure and/or promotion.

## **SECTION 9: PROCEDURES FOR RESOLVING GRIEVANCES OTHER THAN SALARY, ALLEGED DISCRIMINATION AND SEXUAL HARASSMENT**

A faculty member who has a grievance about any matter other than alleged discrimination or sexual harassment may petition the FPC for redress. Faculty with grievances regarding alleged discrimination or sexual harassment should contact the academic dean or the human resources office. A faculty member with a grievance about

salary should consult Simpson College Faculty Handbook Part III: Personnel Procedures, Section 10.

The petition will set forth in detail the nature of the grievance and will state against whom the grievance is directed. It will contain factual data or other material that the petitioner deems pertinent to the case. The FPC will determine whether the petition warrants a complete inquiry or whether the petition should be dismissed.

If the FPC decides that the case merits full consideration, it will first attempt informally through conversations with both parties to resolve the matter to the satisfaction of all parties directly involved.

If the grievance is not resolved informally, the committee will conduct a hearing. The hearing will be conducted by rules established by the FPC for each individual circumstance. If appropriate, findings and recommendations for disposition will be reported by the FPC to the parties immediately involved, and with the concurrence of all parties, to the faculty and the administration.

The decision may be appealed to the academic dean, and then to the president, and ultimately the board of trustees, if they are not party to the original grievance.

#### **SECTION 10: PROCEDURES FOR GRIEVANCES CONCERNING SALARY**

The complainant shall file a written grievance with the dean for academic affairs within seven days of the receipt of the contract letter. The grievance shall outline the nature of the complaint and may contain such factual or other information that the complainant wishes to include. The complainant may also request that he/she be allowed to make a personal presentation to the dean. The dean shall grant this request as expeditiously as possible.

Within seven days after the grievance has been filed, the dean for academic affairs shall respond in writing to the complainant. A copy of the dean's report and recommendation shall be sent to the president of the college.

After receiving the report of the dean, the complainant, within five days, may file a written appeal with the president of the college. Either the complainant or the president may request a meeting concerning the grievance. The president shall respond in writing to the appeal within fourteen days of its filing.

The period for accepting or rejecting the contract shall extend until the grievance process has been completed.

The grievance and all replies to it shall become a part of the complainant's permanent personnel file at Simpson.

#### **SECTION 11: PROCEDURES FOR APPEALING MINOR AND SEVERE SANCTIONS OTHER THAN DISMISSAL**

A faculty member who believes a minor or a severe disciplinary sanction, other than dismissal, has been levied inappropriately against him or her by the administration may petition the FPC for redress.

The petition will set forth in detail in what way the faculty member believes the sanction is inappropriate and will state how the matter might be redressed. It will contain factual data or other material which the petitioner deems pertinent to the case. The FPC will determine whether the petition warrants a complete inquiry or whether the petition should be dismissed.

If the FPC decides that the case merits full consideration, it will first attempt informally through conversations with both parties to resolve the matter to the satisfaction of all parties directly involved.

If the matter is not resolved informally, the committee will conduct a hearing. The hearing will be conducted by rules established by the FPC. If appropriate, findings and recommendations for disposition will be reported by the FPC to the parties immediately involved, and with the concurrence of all parties, to the faculty and the administration.

The decision may be appealed to the academic dean, then to the president, and ultimately to the board of trustees, if they are not party to the original grievance.

## SECTION 12: FACULTY PERSONNEL FILES *(revised 10/14/2016 board meeting)*

### **12.1.0 Fulltime Faculty Personnel Files**

Personnel files (as defined by Iowa statute) created and held by Simpson College on an individual fulltime faculty member are available for review by the individual. The personnel files covered by Iowa statute include the personnel file kept in the human resources office and the personnel file kept in the academic dean's office. Confidential recommendations received at the time of hiring may be excluded from review.

Faculty Personnel Committee files are created for the purpose of evaluation, tenure and promotion and are also kept in the academic dean's office. Access to FPC files is strictly limited to the following:

- the individual faculty member
- members of the Faculty Personnel Committee
- the academic dean and the dean's administrative assistant
- the president of the college
- the faculty member's department chair
- the faculty member's division chair
- members of any committee formed for the purpose of faculty evaluation, tenure and promotion

### **12.2.0 Part-time Faculty Personnel Files**

Personnel files (as defined by Iowa statute) created and held by Simpson College on an individual part-time faculty member are available for review by the individual. The personnel files covered by Iowa statute include the personnel file kept in the human resources office and the personnel file kept in the C&G office. Confidential recommendations received at the time of hiring may be excluded from review.

The personnel file kept by the associate vice president of academic affairs is created for the purpose of evaluation, retention, and renewal. Access to these files is strictly limited to the following:

- the individual faculty member
- the academic dean and the dean's administrative assistant
- the C&G office
- the president of the college
- the faculty member's department chair
- the faculty member's division chair

Faculty may hand-copy materials in their files for their own records.

The files described above and their contents are the property of the college.

### **SECTION 13: PROCEDURES FOR DISCONTINUANCE OF ACADEMIC PROGRAMS AND MAJORS** *(revised 05/15/2020 board meeting)*

#### **13.1.0 Procedures for Reduction and Discontinuance of Academic Programs and Majors in Conditions Other Than Financial Threat or Exigency**

##### **13.1.1 Academic Program and Major Reduction and Discontinuance**

The college through its administration adds resources to academic programs and departments for the purpose of strengthening the college and enhancing the student experience. So too, the college has the authority to reallocate funds from one academic program to another. This is done through direct reallocation, i.e., funds are taken from one program and added to another program. It also may be done by not adding resources as costs increase or it might be done by not refunding a vacant position. Generally, this is done in negotiation directly with the impacted department.

##### **13.1.2 Planned Reduction in Program Funding**

In the case of a planned reduction in resources (program or personnel), if removing funding is such that it jeopardizes the quality or viability of a faculty approved program or academic major, it is incumbent upon the administration to bring the matter to the Educational Policy and Curriculum Committee (EPCC) for review. The administration will also provide a timetable for the resolution of the matter. The impacted department or program will have the right to a hearing by the EPCC regarding the matter. Should the EPCC disagree with the decision of the administration, the EPCC may seek a hearing before the Learning Programs Committee of the board of trustees, or its designees. The decision of the Learning Programs Committee is final.

Should the planned reduction in program funding result in terminating academic staff positions, non-tenured faculty, tenure-track faculty, or tenured faculty, the Faculty Personnel Committee will be notified. The college will use the termination procedures outlined in the Simpson College Faculty Handbook, Part II: Personnel Policies, Section 6. The role of the Faculty Personnel Committee will be to make sure that the termination procedures have been followed. Tenured faculty members impacted by planned reduction in program funding will have the right of appeal using the procedures outlined in the Simpson College Faculty Handbook, Part III: Personnel Procedures, Section 13.3.0.

### **13.1.3 Elimination of a Major, Program or Academic Department**

In the case of a planned elimination of a major, program, or department, the administration will present its plan, including a timetable for action, to the EPCC. The impacted department will have the right to a hearing by the EPCC. If the EPCC agrees with the proposal, it will send it with a positive recommendation to the full faculty for a vote. If the EPCC does not agree with the proposal, it will send it to the full faculty without recommendation for a vote. If a majority of faculty agrees with the plan, it will be implemented. If a majority of faculty does not agree with the plan, the matter will be referred to the board of trustees, or its designee for a decision. The decision of the board will be final.

Should the reduction plan include terminating academic staff positions, non-tenured faculty, tenure-track faculty, or tenured faculty, the Faculty Personnel Committee will be notified. All contract termination processes outlined in the Simpson College Faculty Handbook, Part II: Personnel Policies, Section 6 will be followed. Tenured faculty members impacted by planned reduction in program funding will have the right of appeal using the procedures outlined in the Simpson College Faculty Handbook, Part III: Personnel Procedures, Section 13.3.0.

### **13.2.0 Procedures for Retrenchment Under Conditions of Financial Threat and Financial Exigency**

#### **13.2.1 Retrenchment Under Conditions of Financial Threat**

In the case of a perceived financial threat to the college and the belief that a declaration of retrenchment is warranted, the President will present the evidence of the financial threat to the faculty's Faculty Liaison Council (FLC) for review and discussion. The administration will also provide a timetable for the resolution of the matter.

If the FLC agrees by majority vote that a financial threat exists and that the threat warrants retrenchment, the President will declare that a retrenchment situation exists and put into effect the procedure outlined in the Simpson College Faculty Handbook, Part III: Personnel Procedures, Section 13.2.3. The President will also provide the FLC with an estimate of when the retrenchment period will end. This may be a specific date, or a specific condition. For example, retrenchment may end at the end of a budget year or upon two consecutive years of balanced budgets.

If the FLC does not agree that a financial threat exists or that the threat does not warrant retrenchment, it will state its case in writing to the President and ask that the matter be reconsidered. Upon review, if the President does not agree with the FLC in its assessment of the situation, she or he will provide the FLC his or her rationale. If the FLC does not agree with the President's assessment, the FLC has the opportunity to request a hearing of the College Board of Trustees or its designee. The decision of the College Board of Trustees is final.

#### **13.2.2 Process to Address the Financial Threat**

When the FLC and the President agree that a financial threat exists, and that it demands retrenchment, and that cuts in the academic program and/or staffing budget must be made, the President will ask the faculty to elect a special committee consisting of one

tenured faculty member from each academic division of the college and two at-large representatives of the faculty to advise him or her about reducing the academic program. The President will provide the special committee with an estimate of the amount that must be cut from the academic budget and any recommendations it may have for reductions in the academic program to address the financial threat. The administration will also provide a timetable for the resolution of the matter.

The special committee will review the information and recommendations from the administration and use its discretion to make its own recommendations to cut the academic budget to the level required. The special committee will have the authority to seek and gather additional information from college offices outside of the academic affairs division and meet with other members of the faculty to develop its proposal. Maintaining the overall quality of the academic program and the needs of current students will remain paramount.

The special committee will consult with appropriate members of the faculty, including the division heads, department chairs and committees as necessary. Departments impacted by the recommendations of the special committee may appear before the special committee to appeal.

If the administration disagrees with the recommendations from the special committee, it will work to resolve the differences. If this is not possible, the special committee will have the opportunity to request a hearing of the College Board of Trustees or its designee. The decision of the College Board of Trustees is final.

Should the reduction plan include terminating academic staff positions, non-tenured faculty, tenure-track faculty, or tenured faculty, the Faculty Personnel Committee will be consulted. All contract termination processes outlined in the Simpson College Faculty Handbook, Part II: Personnel Policies, Section 6 will be followed. Tenured faculty who are impacted by the reduction have the right to appeal under the Simpson College Handbook, Part III: Personnel Procedures, Section 13.3.0.

### **13.2.3 Retrenchment Under Conditions of Financial Exigency**

In the case of a perceived financial exigency to the college and should the President believe that a declaration of retrenchment is warranted, the President will present the evidence of the financial exigency and the administration's plan and timetable to address the financial exigency to a joint meeting of the faculty's Faculty Liaison Council (FLC) and the Educational Policy and Curriculum Committee (EPCC) for review and discussion.

If a majority of the FLC and EPCC members casting votes agree a financial exigency exists and that the situation warrants immediate retrenchment, and the plan presented by the President is appropriate, the President will put into effect the plan provided the FLC and EPCC.

If a majority of the members of FLC and EPCC do not agree with the President that a financial exigency exists or that the exigency warrants retrenchment, or that the President's plan is appropriate, it will state its case in writing to the President and ask that the matter be reconsidered. Upon review, if the President does not agree with the

members of the FLC and EPCC in their assessment of the situation, she or he will provide the FLC and the EPCC his or her rationale. If a majority of the members of the FLC and EPCC do not agree with the President's assessment, the members of the FLC and the EPCC will have the opportunity to request a hearing before the College Board of Trustees or its designee. The decision of the College Board of Trustees is final.

Departments impacted by the recommendations of the administration may appear before the members of FLC and the EPCC to appeal.

Should the reduction plan include terminating academic staff positions, non-tenured faculty, tenure-track faculty, or tenured faculty, the Faculty Personnel Committee (FPC) will be consulted. All contract termination processes outlined in the Simpson College Faculty Handbook, Part II: Personnel Policies, Section 6 will be followed. Tenured faculty members impacted by planned reduction in program funding will have the right of appeal using the procedures outlined in the Simpson College Faculty Handbook, Part III: Personnel Procedures, Section 13.3.0.

The FPC will review the plan to terminate the positions to make sure all appropriate Handbook policies with regard to appropriate notice have been followed and bring any concerns to the attention of the President. If the issues are not resolved, the FPC will have the opportunity to request a hearing before the Board of Trustees or their designee. The decision of the College Board of Trustees is final.

### **13.3.0 Appeal Procedure for Tenured Faculty Affected by Retrenchment**

#### **13.3.1 Appeal to the Faculty Personnel Committee**

Any tenured faculty member under the threat of termination for reasons of retrenchment will have the right to appeal to the Faculty Personnel Committee. After hearing the appeal, the Faculty Personnel Committee will make a recommendation to the President.

#### **13.3.2 Appeal to the Board of Trustees**

Any tenured faculty member whose appointment is terminated by using the procedures identified in Section 13.1.2, Section 13.1.3, and Section 13.2.0, will be given the right to appeal such action to the Learning Programs Committee of the Board (LPC), or its designee, provided he or she initiates such an appeal within a thirty-day calendar period following notification of such termination.

The request for such an appeal should be given in writing to the president of the college within the period indicated above. The president will in turn make arrangements for the hearing of such an appeal before the LPC to be held within a period not to exceed thirty calendar days following the request.

The faculty member may place before the LPC any data pertinent to his or her appeal and may have one advisor or representative present. The faculty member will have the ability to call witnesses.

Having studied the appeal, LPC will make the final decision.

### **13.3.3 Reassignment**

In the event that a tenured faculty member's appointment is to be terminated, the administration of the college will make every effort to place the faculty member in a suitable position elsewhere in the college. The college will provide reasonable re-training and/or financial assistance to help prepare for a reassignment at the college.

### **13.3.4 Assistance in Relocation**

In the event retention of a tenured person is not possible, the administration of the college will provide assistance to such a person in securing a position in another college or university, or in a non-collegiate structure. These same services may be extended to persons on probationary or non-tenured contracts.

### **13.3.5 Notice of Termination**

In all cases previously agreed upon, guidelines of notice of termination of contract will be followed (at least three months' notice in the first year of appointment, or by March 1; at least six months' notice in the case of second year appointment or by December 15; and at least one year's notice or by May 31 before the termination date of the appointment for those who have completed a minimum of two years).

## **SECTION 14: PROCEDURES FOR THE REVIEW OF PART-TIME ADJUNCT FACULTY** *(revised 02/08/2019 board meeting)*

Department chairs are responsible for the regular review of part-time adjunct faculty members who teach face-to-face and online classes within their department. This should include class observations, review of student evaluations of teaching and discussion about performance. Normally, the review of part-time adjunct faculty will be conducted by the department chair. The department chair may delegate this responsibility to another full-time member or ask that another full-time member of the department participate in the review process. In extraordinary cases, the part-time faculty member may ask the academic dean (for the day program) or the Dean of Continuing, Graduate & Online Programs (for the continuing and graduate program) to have someone other than the department chair conduct the review.

Each semester, the department chair or her/his designee will review each part-time adjunct faculty member's student evaluations of teaching and take appropriate action as is warranted regarding the continued performance of the part-time faculty member. In addition to regularly reviewing student evaluations of teaching, department chairs are encouraged to regularly observe the classes of part-time faculty, including those classes taught online.

The Dean of Continuing, Graduate & Online Programs will also review the student evaluations of teaching of all part-time faculty members and bring to the attention of the department chair any concerns she or he might have about faculty performance.

All part-time adjunct faculty members will have a comprehensive review by their department chair or her/his designee in the first semester and their sixth semester of teaching at the college. The review will consist of an in-class observation, review of student evaluations of teaching, and a face-to-face conversation. For online courses, a review of the online course using an online course quality rubric will substitute for the

in-class observation portion of the review. At the conclusion of the review, the person conducting the review will create a letter summarizing the performance of the faculty member, including any recommendations for improvement. Within two weeks of completing the review, a copy of the letter is sent to the faculty member and to the Dean of Continuing, Graduate & Online Programs for review and inclusion in the faculty member's file.

After the sixth semester review, part-time faculty members are eligible for an increase in stipend. The department chair will make this recommendation to the Dean of Continuing, Graduate & Online Programs.

All part-time adjunct faculty members will be expected to understand and complete the ECC student learning objectives and other learning objectives for the classes they teach and also participate fully in all ECC and other assessments of student learning objectives. Non-compliance and/or poor performance in these areas may be grounds for dismissal or non-reappointment.

### **SECTION 15: AMENDMENT PROCEDURES**

An individual faculty member or group of faculty members may propose an amendment to the Faculty Personnel Procedures. An amendment must be presented to the faculty at one regular faculty meeting and voted on at the next regularly scheduled faculty meeting. Amendments must be approved by a majority vote of the faculty. Amendments to procedures in the Faculty Handbook will become effective when they have been approved by the board of trustees of Simpson College or their designee.