

# **VOLUME 4 — Faculty Personnel Policies**

Volume IV of this policy manual contains the approved policies and procedures of Southwestern College concerning the terms and conditions of faculty employment at the Winfield campus. This volume IV is incorporated by reference into the individual employment contract of each faculty member. Where the terms and provisions of an individual contract of a faculty member are inconsistent with the general policies contained herein, the provisions of the individual contract shall control. Otherwise, the provisions of this volume will remain in effect until changed by the procedures contained in this volume. Should there be any misapplication, misinterpretation or violation of specific provisions in this volume, the faculty member involved 1) should report the circumstance to the vice-president of academic affairs, dean of the college (hereafter referred to as vice-president of academic affairs), or other officer of the college or to the executive committee of the faculty or (2) may file a grievance with the faculty review committee pursuant to the grievance procedures found in section 4.12.

The administrative or staff responsibilities of faculty members with administrative or staff appointments are specified in the individual contracts of such faculty members.

## **4.1 Definition of Faculty, Faculty Rank, and Faculty Titles**

The faculty comprises all persons having appointment for the instruction of students. The faculty of the college consists of four distinct groups, ranked full-time faculty, ranked pro-rata faculty, per-course faculty, and special appointment faculty. Specific contract types are described in section 4.2. Specific contractual rights and responsibilities shall accrue to each specific group as defined in appropriate sections of this volume IV.

### **4.1.1 The Ranked Faculty**

A ranked faculty member is a full-time or pro-rata employee of the college who has been appointed to one of the four regular academic ranks: instructor, assistant professor, associate professor, or professor.

#### *4.1.1.1 Full-Time Faculty*

A full-time faculty member is a contractual employee of the college who is qualified for appointment to one of the academic ranks listed above in subsection 4.1.1. This employee ordinarily has full-time teaching duties or has teaching and other duties (e.g. research, academic administration, advising) equivalent to a full-time teaching load and fulfills the duties and responsibilities of a faculty member. Full-time status is normally a prerequisite for eligibility to become a voting member of the faculty and any exception shall be approved by the chairperson of the faculty and the vice-president of academic affairs.

#### *4.1.1.2 Pro-Rata Faculty*

A pro-rata faculty person may be a former full-time faculty member who has chosen to semi-retire, or a part-time faculty member. Pro-rata faculty are assigned rank as defined above in subsection 4.1.1 and are given an appointment equivalent to half-time or more, but less than that of a full-time faculty member. They may be employed pursuant to term or notice contracts.

#### **4.1.1.3 Criteria for Initial Appointment to a Specific Faculty Rank**

When first hired, faculty rank for full-time and pro-rata faculty members is assigned by the president, on recommendation of the vice-president of academic affairs. The vice-president of academic affairs shall base the recommendation upon consultation with the appropriate division chair and department chair. If the appointment involves an unusual departure from the guidelines below, the president and vice-president of academic affairs shall consult with the faculty personnel committee.

The following qualifications shall be used as guidelines, not requirements, for the assigning of faculty rank at the time of initial employment:

*Instructor:* a master's degree or the equivalent.

*Assistant Professor:* an earned doctoral degree or an equivalent terminal degree, or a master's degree with a minimum of three years of teaching or equivalent experience.

*Associate Professor:* an earned doctoral degree or an equivalent terminal degree or a master's degree, and a minimum of six years of full-time college teaching or equivalent professional experience, and evidence of continuing teaching and other professional growth.

*Professor:* an earned doctorate or an equivalent terminal degree and a minimum of six years of full-time college teaching or equivalent professional experience. Hiring at the rank of full professor shall occur only under unusual circumstances, e.g. that the person has held that rank previously, or that the person shows extraordinary evidence of achievement in scholarship, service, and teaching.

Once a faculty member is employed, the promotions subcommittee of the faculty personnel committee will make subsequent recommendations for changes in ranks to the vice-president of academic affairs and the president as defined in subsection 4.8.1.

#### **4.1.2 Part-Time Per Course Faculty**

This subsection pertains to Winfield campus faculty not assigned to the professional studies faculty whose employment policies are provided in volume VI of this policy manual.

A part-time per course faculty member is usually a part-time temporary employee of the college who:

- a. Usually has less than a half-time teaching load and is granted the title of affiliate faculty;
- b. Usually has no other faculty duties and responsibilities, except those listed below;
- c. Is normally selected by the appropriate division or department chair in consultation with the vice-president of academic affairs;
- d. Always receives a term contract from the vice-president of academic affairs for one term or one nine-month academic year;
- e. Receives no fringe benefits or tuition remissions; and
- f. Does not accrue time towards tenure, promotion or sabbatical.

Part-time per course faculty should be available at least 1 1/2 hours per week for each course taught to assist students with their course work.

A person assigned the title of affiliate faculty should meet or exceed the minimal requirements set forth for the position of instructor as described in subsection 4.1.2. In lieu of these

requirements, considerable experience in an appropriate technical, artistic, or professional field may be substituted.

#### *4.1.2.1 Senior Affiliate Faculty*

This title may be assigned to a part-time per course teaching faculty member in recognition of distinguished teaching service at the college during a period of at least five years. Assignment of this title may be made by the president, upon the recommendation of the applicable division chairperson and the vice-president of academic affairs.

#### *4.1.2.2 Adjunct Professor by Rank*

A faculty member who teaches on a part-time per course basis for the college, and who is a full-time ranked faculty member of another institution of post-secondary education, may be assigned "adjunct" rank at the college that is equivalent to the faculty member's rank at the other institution. Should the other institution not use rank, the title of adjunct instructor will be used.

### **4.1.3 Special Appointment Faculty**

#### *4.1.3.1 Professor Emeritus*

This rank may be assigned to associate professors or professors who have limited or ended their responsibilities as a ranked faculty member for valid reason (e.g., retirement, illness) after ten or more years of distinguished service to the college. A professor emeritus is designated and appointed by the Board of Trustees after recommendation by the president, vice-president of academic affairs and the faculty personnel committee.

No compensation accrues by virtue of this rank except by a mutual agreement between the president and the individual. The emeritus faculty member may be offered a part-time term contract to teach or fulfill other duties. In such cases, supplementary benefits, if any, will be set forth in the contract and such a term contract shall be limited to less-than-half-time faculty status.

Professors emeriti will normally be granted access to library services, e-mail and the internet, although the college will not furnish computing equipment and reserves the right to charge a fee for these services. Professors emeriti may attend college events without charge and are invited to attend faculty meetings (without vote), faculty workshops and forums. Business cards will be provided. Office space will not normally be available to professors emeriti without specific approval of the president and for approved purposes of research or teaching. The college reserves the right to modify these benefits at any time without undergoing the formal handbook revision process.

#### *4.1.3.2 Visiting Appointments*

All visiting appointments are for a limited period of time with no intent of on-going employment. Visiting appointments are reserved for faculty members and professors emeriti of other institutions, and persons distinguished in their fields.

#### *4.1.3.3 Artist/Writer/Scholar-in-Residence*

Artists, writers and scholars may be appointed to the status of artist/writer/scholar-in-residence. Such appointments are made through term contracts that may be renewed at the initiative of the college.

The appointment of an artist/writer/scholar-in-residence does not prejudice the academic personnel rights of any other faculty member with respect to the contractual policies set forth in this volume IV.

#### *4.1.3.4 Replacement Faculty*

The college may appoint a replacement faculty member using a full-time or pro-rata term contract. Service pursuant to such a contract does not count towards tenure, promotion, or sabbatical leave unless, at a later date, such service is recognized by the vice-president of academic affairs and the president at the time of offering a notice contract.

#### *4.1.3.5 Administrators with Academic Rank*

All academic officers of the college and administrative members of the faculty, including division chairs, shall hold academic rank. Qualification for the various ranks will be based on the guidelines for the initial appointment of teaching faculty, as described in subsection 4.1.2.

Administrative appointments with faculty rank but less than one-half teaching load do not include the rights of tenure, of multi-year appointments, or of protection from summary non-renewal or from summary termination. In matters that do not pertain to instruction or academic freedom, these individuals will be governed by the policies and procedures set forth in volume V of this policy manual.

Other administrators who are appointed with regular teaching responsibilities will be awarded the appropriate academic rank if they fit the pro-rata requirements in subsection 4.1.1.2. If the administrator seeks to move to a full-time faculty appointment or is asked to do so by the president, the administrator's application, with the approval of the vice-president of academic affairs, shall follow the process described below.

The process begins with a request to the faculty personnel committee for review of the proposal by the vice-president of academic affairs, approved by the president and the vice-president of academic affairs and endorsed by the appropriate division chair. The process shall include the presentation of a portfolio by the faculty member to the faculty personnel committee, given the approval of the vice-president of academic affairs to proceed with an application. The person applying shall have completed a minimum of three (3) continuous years of service at Southwestern College, have an earned doctoral degree or an equivalent terminal degree, or a master's degree with a minimum of three years of teaching or equivalent experience.

The portfolio should address the same criteria used for promotion and tenure:

- a. Teaching Effectiveness;
- b. Service to Students;
- c. Scholarship;
- d. Service to the Institution, Community, and Discipline

The portfolio should also include:

- a. substantiation of the applicant's credentials;
- b. discussion of the applicant's teaching philosophy;

- c. discussion of professional goals;
- d. sample syllabi for courses the applicant will be responsible for teaching; and
- e. written recommendations from the appropriate division and department chairs.

The personnel committee will review the portfolio. A two-thirds (2/3) majority vote will be needed for a positive recommendation for full-time faculty status. The vote shall be by secret ballot. The recommendation of the committee will be communicated to the vice-president of academic affairs and to the president, whose decision is final. The applicant will receive written notification of the decision by the vice-president of academic affairs.

If an applicant receives a negative vote from the personnel committee, the applicant may request that the vice-president of academic affairs institute a review of the recommendations made by the personnel committee. This review may involve additional consideration by the committee and/or a separate recommendation to the president by the vice-president of academic affairs. The applicant may reapply for faculty status during the subsequent academic semester, but not during the semester in which the applicant received a negative recommendation.

#### *4.1.3.6 Developmental Educators*

The college offers non-tenure track notice contracts to faculty members who possess specialized skills in selected academic areas, but who would not otherwise qualify for promotion or tenure. Developmental personnel, who teach subjects such as writing, reading, mathematics and study skills, are critical to the teaching and learning process of the college. Faculty with this status may receive up to six one-year term appointments and in the seventh year may, after evaluation and approval of the president, the vice-president of academic affairs and the applicable division chairperson, be given a two or three-year, renewable, non-tenure notice contract.

Should faculty members in this status later be employed pursuant to a tenure-track notice contract, vice-president of academic affairs may choose to count some of the faculty member's prior service towards promotion and tenure at the time of the issuance of the tenure-track notice contract. However, this is an option that is normally not exercised and is not a requirement.

#### *4.1.3.7 Special Teaching Appointments*

Faculty members are invited occasionally, depending upon need, to teach in summer school, the degree completion program, and the graduate program. Unless these are assigned as part of the person's basic contractual responsibilities, special contracts for these teaching services will be issued by the office of the vice-president of academic affairs.

#### *4.1.3.8 Director of the Library*

The director of the library is an administrator with faculty status governed by the policies and procedures set forth in volume V of this policy manual. With regard to matters of instruction or academic freedom, the applicable provisions of this volume IV of this policy manual will pertain to the director of the library.

## **4.2 Types of Contracts, Definitions, and Contract Policies**

### **4.2.1 Definitions**

The term “tenure track” refers to the contract of an untenured faculty member who will be eligible to apply for continuous contract status (tenure) upon completion of the requirements specified in section 4.9 of this volume IV.

The term “pre-tenure” shall mean that period during which a tenure track faculty member is actively being considered for a tenured position as set forth in section 4.9 of this volume IV. During the pre-tenure period, a faculty member shall have the same academic freedoms as all other faculty members.

### **4.2.2 Contract Period**

Members of the regular teaching staff are normally employed on a nine-month work basis. Ten, eleven, and twelve-month contracts are occasionally provided with the dates of employment specified in the contract.

### **4.2.3 Non-Tenure Track Positions**

Some positions with faculty rank or teaching responsibilities will not be tenure-track positions.

These include but are not limited to the following:

- a. administrative positions (except division chairs) including those with faculty rank or teaching-related responsibilities;
- b. guest lecturers or artists/scholars in residence;
- c. temporary positions to fulfill temporary needs;
- d. part-time or adjunct positions; and
- e. other positions so identified by the president.

The president and the vice-president of academic affairs will consult with the faculty personnel committee when preparing to create a new non-tenure track position.

### **4.2.4 Term Contracts**

Term contracts at the college are given to per-course and special appointment faculty members, and are limited to the term of employment outlined in the applicable contract. Term contracts do not confer upon a faculty member entitlement to continued employment after the term specified in the employment contract expires.

Term contracts may also be used with full-time and pro-rata ranked faculty in special circumstances as follows: all summer session contracts; for replacements for one semester or year for faculty on leave on a full-time or pro-rata basis; or with the approval of the vice-president of academic affairs for short-term curricular needs of the college. No more than three consecutive academic year contracts of this type will be given a ranked faculty member with specific ranked faculty status.

Term contracts are issued by the office of the vice-president of academic affairs.

## **4.2.5 Notice Contracts**

A faculty member with a notice contract may expect the contract to be renewed unless otherwise notified pursuant to the terms of the applicable contract. A notice contract may be for a period of one or more years and may or may not be tenure-track.

If a notice contract is a tenure-track contract, each year of a faculty member's employment thereafter shall be considered a part of that faculty member's "pre-tenure period" as described in section 4.9. Six one-year tenure-track notice contracts may be issued.

After three (3) years of continuous service in a non-tenure track position, the college may exercise the option of offering two or three-year appointments. After six years of non-tenure track contracts, this option shall be actively considered for the seventh year of employment, although continuing to issue annual notice contracts is also an option. This process may apply to particular categories of positions, e.g., athletic coaches, developmental educators, new program development personnel, personnel involved in skills courses, and faculty who lack a terminal degree. If so offered and accepted, non-renewal of the faculty member's contract will only occur according to the provisions of section 4.11. The president reserves the right to issue multi-year contracts outside this framework in situations wherein a multi-year appointment serves the interests of the college, e.g. a distinguished visiting professorship that is designed to last more than one year.

## **4.2.6 Continuous Contracts (Tenured Positions)**

Continuous contract rights at the college are given to faculty members who have attained tenured status (as outlined in section 4.7). Faculty members employed under a continuous contract are entitled to annual contract renewal and shall be subject to the terms and conditions of employment that exist at the time of each annual renewal by the college, unless separated pursuant to any subsections of section 4.11 of this volume IV (except subsection 4.11.3).

## **4.2.7 Locus of Appointments**

All faculty appointments to non-tenure or tenure track or continuous contracts have as the locus of their appointment the applicable division or department/program which is stated in their contract. Dual appointments to different academic units may be granted to a faculty member. In such a case, the vice-president of academic affairs, in consultation with the faculty member and any appropriate division chairpersons, will select one academic unit as the faculty member's primary academic unit for the purposes of this volume IV (e.g., governance, evaluation, promotion, separation).

## **4.2.8 Issuance, Receipt, and Form of Contract**

When a faculty member is employed, a written contract stating the rank, length of contract period, salary, and other conditions shall be signed by the president, representing the college, and by the faculty member.

Full-time and pro-rata faculty contracts are issued by the president. Part-time per course and less-than-half-time faculty contracts are issued by the vice-president of academic affairs unless the instructional assignment is integral to a full-time or near full-time staff or administrative employment contract issued by the president. The president will issue full-time and pro-rata contracts to faculty members for subsequent years of employment on or before March 1. The

vice-president of academic affairs will issue part-time contracts prior to the beginning of the term in which the teaching assignment will take place.

On or before the March 1 date when full-time and pro-rata contracts are offered, the president will provide a summary of all changes affecting faculty personnel policies and fringe benefits that have been adopted for the coming contract year. It is understood that further changes in these policies and benefits will occur only in the most unusual circumstances and only in consultation with the faculty personnel committee delegated to act for the faculty.

All ranked full-time and pro-rata faculty contract offers must be returned on or before April 1, or the first working day thereafter. If the contract offer is not accepted on or before April 1, unless a special arrangement made with the president and the vice-president of academic affairs, the offer will automatically expire on April 1.

All term contracts are issued on an individual basis as the necessity arises.

#### *Summary of Definitions of Faculty and Types of Contracts*

Type of Faculty Member	Type of Contract Notice = Generally expecting renewal Continuous = Tenured Term = No expectation of renewal	Contract Issued By
Full-time (tenure-track or nontenure-track)	Notice, continuous, or term Non-tenure option of two/three-year appointment after three years of service	President
Pro-Rata	Notice, term	President
Part-Time Per Course	Term	Vice-president of academic affairs
Senior Affiliate	Term (per-course)	Title by the president, contract by the vice-president of academic affairs
Adjunct Professor by Rank	Term (per-course)	Vice-president of academic affairs
Professor Emeritus	Term, if teaching	Board of trustees designation on recommendation of the president
Visiting Appointment	Term	President if pro-rata or full-time

		Vice-president of academic affairs if less than half-time
Artist/Writer/Scholar-in Residence	Term	President if pro-rata or full-time Vice-president of academic affairs if less than half-time
Replacement Faculty	Term	President if pro-rata or full-time Vice-president of academic affairs if less than half-time
Administrator with Academic Rank	Notice	President
Developmental Educator	Notice	President
Director of Library with Academic Rank	Notice	President

## **4.3 Guidelines for Search, Appointment, and Orientation of Faculty**

### **4.3.1 Faculty Vacancies**

When a full-time vacancy occurs, the vice-president of academic affairs shall institute a program review, in consultation with the president, the appropriate division and department chairs, and based on the mission and strategic plan of the college. This review shall determine, upon presidential decision, if the position will be filled and, if so, in what manner.

If the position is authorized, the division chair shall develop a plan for the search, including the membership of the search committee, in consultation with the vice-president of academic affairs. The division chair, in consultation with the members of the department, shall develop criteria for selection of the new faculty member prior to the development of the advertisement for the position. The search committee shall be organized under the leadership of the division chair and shall normally consist of the division chair, faculty members from the primary discipline or disciplines related to the vacancy, one faculty member outside the discipline and the vice-president of academic affairs as an ex-officio member.

The vice-president of academic affairs shall advertise the position, taking care to follow equal opportunity/affirmative action processes. Review of credentials, checking of references, and telephone interviews will normally precede on-campus interviews of candidates.

On-campus interviews will involve a presentation by the candidate and opportunities for the candidate to meet and be interviewed by diverse members of the campus community, including students. All commitments to employ, including rank, job description and salary, are ultimately the province of the president, based on recommendations from the vice-president of academic

affairs. Appointments to rank shall normally follow the guidelines described in subsection 4.1.1.3.

### **4.3.2 Accuracy of Credential Information**

Official transcripts of all advanced degrees are to be provided to the vice-president of academic affairs for inclusion in the faculty member's file. Accuracy of credentials, including degrees completed, is assumed in the issuance of a contract. Any evidence of falsification of credentials will result in making an issued, signed contract null and void.

### **4.3.3 Orientation**

New faculty orientation will take place throughout the first semester of employment as scheduled by the vice-president of academic affairs.

Newly hired faculty members at the college, as part of the orientation process, will meet with the director of human resources and receive a packet of information before they begin work which shall include at minimum:

- a. An appointment letter from the president which contains important information and instructions together with a copy of the faculty member's employment contract;
- b. I-9 Employment Eligibility Verification Form;
- c. W-4 tax Form;
- d. Emergency Notification Form; and
- e. Employee Personal Background Summary Form.

The college shall request pre-employment medical testing where necessary or required by law (e.g. tuberculosis test).

## **4.4 Faculty Personnel Records**

Because appointment as a faculty member may lead to a continuing relationship with the college, it is essential that there be adequate and detailed documentation to support official actions involving each individual, especially those actions pertaining to appointment, promotion, tenure, review for multi-year appointment, layoff, and dismissal.

Basic documents to be found in each faculty member's official personnel file are maintained by the director of human resources and shall include:

- a. Letters of application (originals);
- b. Appointment and acceptance letters (originals);
- c. Personal data information;
- d. Hiring transaction documents (payroll notices, etc.);
- e. Copies of the faculty member's employment contracts;
- f. All performance reviews and evaluations and formal reprimands by the vice-president of academic affairs or the president;
- g. Payroll change documents (salary changes, changes in status);
- h. The faculty member's official credentials including a current official transcript with a current vita;

- i. Salary and fringe benefit data;
- j. Letters of recommendation; and
- k. Any additional information that the faculty member wishes to place in this file that pertains to the faculty member's professional background or accomplishments.

This file is always available to the individual faculty member. The faculty member may, for the cost of duplication, obtain copies of any material in the official personnel file. Any such copies will be made by a member of the staffs of either the director of human resources or the vice-president of academic affairs.

This file is confidential. It is available, on a need to know basis only, to the Board of Trustees, the president, the college's legal counsel, the vice-president of academic affairs, members of the faculty personnel committee, and the director of human resources, or other appropriate members of the college community specifically designated in writing by the president. The faculty member may authorize access in writing to the faculty member's file by a person not indicated above. Further, the college may permit access to and copying from such files, pursuant to lawful requests from federal, state or local agencies relevant to investigations, hearings, or other proceedings pending before such agencies or the courts.

#### **4.4.1 Faculty Professional Files**

Each faculty member has a professional file kept in the office of the vice-president of academic affairs. Faculty are asked to provide and keep current the following items for this file on a calendar announced by the vice-president of academic affairs:

- a. Vita. A current vita and transcripts of all graduate work should be provided.
- b. Syllabi. In any regularly scheduled course it is the responsibility of the faculty member to provide a course syllabus to students in the class and to furnish a course syllabus to the office of the vice-president of academic affairs.
- c. Any additional information that the faculty member wishes to place in this file that pertains to the faculty member's professional background or accomplishments.

### **4.5 The Faculty's Duties, Obligations, Rights, Academic Freedom, and Code of Ethics**

#### **4.5.1 Academic Freedom**

Academic communities traditionally have been the guardians of freedom in all its forms. Controversy and dissent have been basic to the expansion of knowledge and spiritual growth.

The faculty member shall be free to discuss, debate, or dissent on all subjects, but should not introduce into the classroom controversial matter which has no relationship to the subject matter of the course. The intent of this statement is not to discourage what is "controversial."

Controversy is at the heart of the free academic inquiry which the entire statement is designed to foster. The statement serves to underscore the need for the faculty member to avoid persistently introducing material that has no relationship to the subject matter of the course.

The faculty member shall be entitled to full freedom in research and in the publication of the results, subject to the adequate performance of other duties.

## **4.5.2 Professional Ethics**

The faculty members affirm the need to:

- state the truth as they see it
- encourage free pursuit of learning in their students
- protect academic freedom
- respect and defend free inquiry of their associates
- accept a share of faculty responsibility for the governance of the institution
- maintain professionalism in relationships with students
- avoid intimate or confrontational relationships with students that could potentially lead to allegations of harassment and discrimination
- maintain cordial relationships with external college constituents, respecting and supporting the core mission of the college

## **4.5.3 Faculty Responsibility Statement**

The responsibilities of a college faculty member are correlated with the criteria for evaluation and promotion found in section 4.7 and 4.8. Those responsibilities are as follows:

### ***4.5.3.1 Teaching Effectiveness***

- To assume a course load and class schedule facilitating the implementation of the academic mission of the college.
- To make a contribution, in the context of departmental or divisional programs, to instruction in the general education program.
- To prepare and maintain a current syllabus for each course in keeping with the standards and deadlines of the vice-president of academic affairs.
- To be available to students in the faculty member's office, or at some equally accessible spot on a regular basis (normally 8-10 hours per week beyond classroom contacts). Some availability each day is preferable with sufficient time to encourage extended conversation rather than brief responses to questions.
- To improve the quality and effectiveness of teaching in each course and to view each class session as an opportunity to seek excellence in the teaching/learning relationship with students.
- To affirm the need for and actively participate in processes leading to the constant evaluation of teaching excellence and quality in the classroom and to implement steps to assess the achievement of the desired results and outcomes stated in each course syllabus, with special attention given to written and verbal communication skills.
- To value the guidance of the vice-president of academic affairs, faculty peers, and students in implementing an effective teaching process.
- To seek educational experiences that promote the life of the college community, enhance personal and intellectual growth, and develop skills for effective teaching.

#### **4.5.3.1.1 Faculty Responsibilities**

Each student in a course must be provided with a copy (written or electronic) course syllabus at the first class meeting. A copy of the course syllabus must also be filed with the office of the vice-president of academic affairs no later than one week after the start date of the course. This syllabus represents a contract between the instructor and the student and should be treated as such. If revisions of the syllabus become necessary, they must be announced and distributed to all students in the course. The syllabus must contain at least the following:

- Name(s) of the instructor(s) along with their contact information (email, office location) and office hours.
- Course name and number, credit hours and course prerequisites
- Course goals or objectives and requirements
- Class meeting schedule – dates, times, and location(s).
- Required and optional texts and other course materials (e.g., Software, dissection kits, etc.);
- List of major course events and deadlines (e.g., projected due dates or “TBA” for assignments and exams, including the final exam);
- Methods of evaluation; grading system (weighted items, group work vs individual, etc.) and scale, how grades will be posted (e.g., Blackboard, instructors gradebook, course website)
- Attendance policy;
- Policies for missed and/or late work;
- Special policies for the course, if any (e.g., a policy that collaboration is permitted on take home work, a policy that calculators can be used on exams, field work, etc.);
- Information about or links to college information about academic deadlines, religious holidays, consequences for academic dishonesty, and disability services;

#### **4.5.3.2 Service to Students**

- To be knowledgeable of the goals and objectives of the curriculum of the college and affirm and interpret the same to all advisees.
- To be able to explain to advisees the registration and enrollment process and to refer advisees to proper persons for specialized information and consultation.
- To know the graduation requirements of the college and refer advisees to the registrar for degree requirement checks as needed.
- To help advisees to explore various fields of knowledge and career options and develop a plan to promote positive career outcomes.
- To encourage advisees to develop the written and verbal communication and interpersonal skills needed for effectiveness in all careers.
- To monitor advisees’ progress at midterm and finals and to make referrals for follow-up action as appropriate.
- To be available to advisees throughout their educational experience.

#### **4.5.3.3 Scholarship**

- To actively study within one's own discipline for the purpose of staying current in that discipline.
- To contribute new ideas and insights to the larger academic community related to specific discipline teaching effectiveness and quality classroom design.
- To function as model learners, seeing the academic community as a place of growth and renewal.
- To implement the interdisciplinary connections available to create quality courses and classroom design and to affirm the general principles and goals of the general education program in the design of each course.
- To pursue scholarly activities and creative endeavors which contribute to a specific field, the community, the culture, and the learning community of the college.

#### **4.5.3.4 Service to the Institution, Community, and Discipline**

- To participate in divisional programs.
- To support and respect the mission of the college and support the policies set by the Board of Trustees and the administrative leadership.
- To select appropriate ways to support the college and assist in facilitating recruitment, development, student life, and governance.
- To select appropriate ways to connect one's discipline with the community.

### **4.5.4 Further Explanation of Policies, Programs and Systems Related to Faculty Responsibilities**

#### **4.5.4.1 Work Load Policy**

The approach to load definition at the college is multifaceted, reflecting the involvement of faculty in teaching, advising, governance, scholarship and special services like supervision, student recruitment and grant writing. Teaching and workload must always be planned on a departmental or divisional level with appropriate consultation with the vice-president of academic affairs. For example, actual workload in science laboratory courses, music lessons or ensembles and drama productions cannot be adequately measured by a course-load formula. The final determination of teaching load is made by the vice-president of academic affairs in consultation with the division chair or program director.

#### **4.5.4.2 Assessment of Student Achievement**

The College is committed to quality education for students. To satisfy this commitment the faculty is asked to participate in the assessment process. The assessment process seeks out patterns of evidence concerning aggregate student achievement and faculty and departmental effectiveness in providing student educational experiences. Assessment data provides information that is used to make plans for improvement of the educational program being delivered to students.

Each term, the college sets aside one day as "Assessment Day," during which no classes are scheduled, assessment instruments are administered to students, and departments and programs engage in intentional assessment activities.

#### ***4.5.4.3 Advising System***

Academic advising – as part of service to students – is one of the essential criteria for faculty evaluation. Faculty can serve as major advisors and/or general advisors. Advisors have an ongoing relationship with advisees, meeting at various times throughout the semester. Together, advisors and advisees are responsible for developing and monitoring the student's plan of study, ensuring that graduation requirements are met. In addition, the advisor monitors the advisee's progress in course work, and assists students in developing and implementing plans to address specific needs when necessary.

Freshmen are assigned an advisor who will assist the student in the transition to college life. The student will have an ongoing relationship with the advisor, meeting during orientation, course selection, selected social events, and various other times throughout the freshman year.

#### ***4.5.4.4 Absence Arrangements***

For any absence involving omission of a scheduled duty, faculty members are expected to inform their division chair or program director, leaving information as to their whereabouts and the time of return and stating what arrangements have been made for their work while absent. In emergencies where advance notice is not possible, the earliest possible communication to the appropriate division chair is expected.

In the event that an absence from a faculty workshop or a major event (e.g., commencement) becomes necessary, faculty members are asked to consult the vice-president of academic affairs.

#### ***4.5.4.5 Service to Student Activities***

The educational mission of the college mandates special attention to relationships with students. Faculty members are encouraged to respond appropriately and, whenever possible, favorably to students' requests for assistance as advisors, sponsors and participants in organizations, committees and activities.

#### ***4.5.4.6 Governance Responsibilities***

Faculty members are expected to participate in faculty meetings and committee work as an integral part of their workload and commitment to service. Collegial decision-making mandates the fullest possible participation of all faculty members.

#### ***4.5.4.7 Special Events***

Faculty members are also asked to participate in the matriculation and honors convocations, baccalaureate, and commencement. Appropriate academic regalia is required at the matriculation and honors convocations, commencement and other selected occasions announced by the vice-president of academic affairs. If the faculty member does not own the appropriate regalia, the vice-president of academic affairs office will arrange for rental at college expense. The current academic lineup at the college is provided in volume VI of this policy manual. Ordinarily, the academic lineup includes all full-time and pro-rata faculty plus the members of the administrative council and all deans. At commencement, some special representatives from the per-course faculty of the professional studies centers are included.

Faculty members are urged to support a schedule and structure that respects the right of members of the college community to participate in chapel and religious services and related activities.

#### *4.5.4.8 Independent Study*

The college makes it possible for a student, under special circumstances, to study a subject not offered in the curriculum by means of independent study. The same high standards must be maintained as those for regular classes. Faculty members are asked to insist that virtually all components of a typical syllabus are clearly addressed when agreeing to supervise such studies. An independent study is not to be used simply to duplicate a regularly scheduled class.

#### *4.5.4.9 Student Recruitment and Retention Responsibilities*

It is the responsibility of every faculty member to assist in the recruitment of new students. This means working cooperatively with division and department chairs, program directors and the admissions office as needed in contacting and interacting with prospective students who visit campus.

Faculty members, and especially advisors, are requested within the bounds of confidentiality and serving the best interests of the student to assist in encouraging and monitoring student retention.

### **4.6 Faculty Development**

The members of the faculty are the chief source of academic excellence for the college. Thus it is expected that each faculty member will continue to grow academically and professionally by independent study, by participation in seminars and workshops, and by sustaining active membership in learned societies. While professional development is the responsibility of the faculty member, the college supports the development of the faculty by means of the policies set forth below.

#### **4.6.1 Conventions and Conferences**

The administration urges faculty members to keep abreast of their fields. They are encouraged to attend conferences and conventions where new ideas and teaching methodologies can be obtained. Limited funds are available to assist with attendance at meetings. These funds are allocated by the vice-president of academic affairs. Faculty are responsible for work-load related issues arising from their absence while attending conferences, conventions, or other professional development opportunities.

#### **4.6.2 Sabbatical Leave**

After six years of continuous full-time service, a faculty member may be granted a sabbatical leave for one semester at full pay or two semesters at one-half pay. Leaves funded by outside agencies that constitute honors should be counted as continuous full-time service in eligibility for a sabbatical leave. A limited number of sabbatical leaves are available each year. Fringe benefits continue while the faculty member is on sabbatical leave.

The purpose of the sabbatical leave program is to encourage study and research which will increase the professional effectiveness of the faculty member. It is not to allow faculty to simply collect sabbatical pay from Southwestern while at the same time accepting employment elsewhere for salary. Applications for sabbatical are to be made in writing to the vice-president of academic affairs on or before November 15 of the academic year preceding the requested sabbatical. An applicant should provide an outline in writing of the proposed study and research to be attempted while on sabbatical, and indicate its importance for the faculty member's professional development. This outline should include a statement of objectives, both personal and institutional, detailed plans for implementation, and plans for sharing the results of the

sabbatical leave with the campus upon returning. Final decisions on the granting of a sabbatical and the acceptance of a sabbatical are to be made on or before January 31 of the academic year preceding the requested sabbatical.

Authority to approve sabbatical plans rests with the president on the recommendation of the vice-president of academic affairs. Approval of a sabbatical is not automatic and depends on a variety of factors, including the seniority and previous sabbatical record of the applicant, the number of applicants for a particular year, and the impact of that number on the college, and the potential impact of the particular sabbatical on the effectiveness and costs of college programs that will be affected by the leave. Barring unusual circumstances, a sabbatical or leave of absence will not be approved for more than one person in any program during the same term or year.

Faculty members not choosing to apply for sabbatical when they become eligible will be strongly encouraged to do so at the conclusion of the fifteenth year of service.

After completing a sabbatical, an individual faculty member must complete five additional years of service before being able to apply for, and six years of service before being able to take another sabbatical. It is the understanding of the college that faculty will return to Southwestern from sabbatical leave for a minimum of one full contract year following the leave or reimburse the college for leave salary.

#### **4.6.3 Leave of Absence**

Leave of absence without salary may be granted with the approval of the president and the vice-president of academic affairs. The time involved will not count toward the required years of service for eligibility for tenure unless there is an explicit, written agreement to that effect. Proposals for leave without pay are to be handled on the same calendar and in the same process as applications for sabbatical leave. Barring unusual circumstances, a leave of absence or sabbatical will not be approved for more than one person in any program during the same term or year.

#### **4.6.4 Advanced Degree Completion Program**

Assistance in the completion of a doctoral or other advanced degree may be provided at the discretion of the administration. Approval for requests for assistance are normally delegated by the president to the vice-president of academic affairs, with extended leaves for such purposes requiring the president's approval.

Requests for advanced study leave and assistance must be submitted in writing on the same calendar as that for sabbatical leave on or before November 15 of the year prior to the year of the leave. Requests should provide details as to financial support proposed, the current status of and proposed path to degree completion, and recommendations for covering faculty duties during the faculty member's absence.

#### **4.6.5 Study and Research Grants**

The administration has limited funds available to support faculty with grants to assist with the expenses of research or creative programs of study. While Southwestern is primarily a teaching institution, the administration recognizes that faculty members who stay active in scholarship and creative activities will be more vital teachers, engaged constantly in their own renewal and serving as role models of study for students. Application for these funds is made to vice-president of academic affairs.

## **4.6.6 College Courses**

A faculty member with the permission of the vice-president of academic affairs may take up to three hours in on campus, undergraduate or graduate courses without tuition charge each fall, spring or summer term. Beyond the three hours for which there is no tuition charge, additional hours may be taken at normal tuition rates in courses which are not scheduled during working hours.

## **4.7 Faculty Evaluation**

Volume IV is primarily a policy manual delineating the policies and formal processes that reflect the rights, privileges and responsibilities of faculty. However, the subject of faculty evaluation merits discussion of principles and examples of practice that go beyond statements of policy, in order to provide appropriate guidance to evaluators and to faculty members preparing to undergo formal evaluation.

Because faculty excellence is essential to the mission of the college, faculty undergo performance review and evaluation regularly during their tenure at Southwestern College. The evaluation process is designed to be a disciplined information gathering process that, while it has implications for contract renewal, tenure, and promotion, is intended primarily to assist the faculty member in the improvement of instruction and service. Therefore, the faculty member is a partner in the process from its inception.

Faculty evaluation presupposes a good faith effort on the part of the faculty member to participate in an evaluation process that assesses the vitality of faculty members and their continued ability and interest to improve their teaching effectiveness, service to students, scholarship and service to institution, community and discipline.

During the first year of service, full-time faculty members begin the process of building a professional portfolio in collaboration with the vice-president of academic affairs and the division chair. The portfolio will address the four areas of faculty responsibility: teaching effectiveness; service to students; scholarship; and service to institution, community and discipline. Suggestions for portfolio content can be found in 4.14. This portfolio may be used by the faculty member to provide information for evaluation and be used in application for promotion or tenure, in which case it must always include a copy of the most recent evaluation. The portfolio is maintained in the faculty member's office between evaluation years.

All full-time faculty members, both tenure track and non-tenure track, are formally evaluated during the second, third, and fifth years of service. Formal evaluations are scheduled and communicated by the vice-president of academic affairs unless the faculty member is explicitly excused from that process. Tenured faculty members are evaluated every fifth year. Non-tenure track faculty members are evaluated every third year following the seventh year of service.

### **4.7.1 Categories for Faculty Evaluation**

The cornerstone of the faculty evaluation system at Southwestern College is improvement. Consequently, the categories for evaluation are designed to reflect both growth and accomplishment as faculty members progress through the various stages of their careers. The four categories for improvement are consistent in all ranks and are: teaching effectiveness; service to students; scholarship; and service to the institution, community and discipline. The weight for each category in an individual faculty member's evaluation will be determined by the

division chair and the vice-president of academic affairs in consultation with the faculty member. The examples listed in each category are not intended to be a prescriptive list, nor are they valued in any particular order. Rather, they illustrate the normal work undertaken by faculty colleagues at Southwestern College.

#### ***4.7.1.1 Teaching Effectiveness***

Teaching effectiveness lies at the heart of the college's responsibility to its students. Therefore, faculty members undergoing evaluation should demonstrate excellence in teaching and their commitment to improve their teaching performance.

Teaching effectiveness can be demonstrated by, but not limited to, the following:

- a. Skill in communicating with students.
- b. Commitment to students and their intellectual development.
- c. Command of one's discipline and knowledge of current developments in the faculty member's field.
- d. Ability to plan and execute substantive, well-organized courses, including syllabi reflecting both up-to-date content and well-formed outcomes that support both program and institutional goals.
- e. Ability to use effective teaching methods and strategies.
- f. Commitment to integrity, open-inquiry and fairness in teaching.
- g. Analysis of results of student evaluations.
- h. Supervision of students engaged in graduate work, internships, and practica.
- i. Third party endorsements such as teaching awards.

#### ***4.7.1.2 Service to Students***

Faculty members undergoing evaluation should be recognized for commitment in serving students and assist them with issues that affect their academic performance.

Evaluation of service to students may address, but not be limited to, the following:

- a. Participating in academic advising by assisting advisees to develop plans of study that work toward a timely degree completion; monitoring advisee progress in course work; and helping students to develop and implement plans to address specific academic needs when necessary.
- b. Helping students identify their academic strengths.
- c. Helping students with career planning, including requirements for their degrees or certification through outside agencies.
- d. Serving as advisor or moderator to a student organization.
- e. Planning or participating in co-curricular student activities or in curriculum-related enrichment activities outside normal course offerings.

#### ***4.7.1.3 Scholarship***

Scholarship is an intrinsic element of academic life at the college. To acknowledge that scholarly productivity is a component of a faculty member's evaluation is not to diminish the importance of excellent teaching, but it draws upon the intellectual richness that typically characterizes a community of scholars. The specific form and intensity of scholarly activity within the college is expected to vary among academic departments and disciplines but should be consistent with the commitments and mission of the college. Appendix A at the end of Section 4.7 provides a broader definition for scholarship than is given here and further illustrates the many forms that scholarship can take.

The line between scholarship and creativity is not easily drawn. In a college like Southwestern College, genuinely creative work by faculty members may not fall neatly into the categories for scholarship, yet are equally important. Faculty members who are undergoing evaluation should be recognized for engaging in creative activity.

Evidence for active intellectual engagement is the basic criterion for success in this category. The college recognizes that scholarship takes many forms and as such, indicators of having met the criterion can include but are not limited to:

- a. Presentations and participation at professional meetings, conferences and organizations.
- b. Creative writing including fiction, non-fiction, or poetry.
- c. Peer-review of the creative or scholarly work of another.
- d. Completion of advanced or additional degrees, certifications, or licenses.
- e. Publication of dissertation either in whole or in part.
- f. Academic articles, either discipline-related or pedagogical.
- g. Grant writing.
- h. Public performances or showings to include musical or dramatic performances.
- i. Additional course work in a cognate area.
- j. Poster presentations and/or professional publication.

#### ***4.7.1.4 Service to the Institution, Community and Discipline***

There are a variety of ways in which a faculty member can be of service to the institution, community and his/her academic discipline.

The college recognizes that service takes many forms and, as such, evidence for having satisfied this category can include but is not limited to:

##### ***Service to the Institution***

- a. Participation in the operation and management of the academic responsibilities of the college.

- b. Service to an academic department, including innovative program development and creative leadership in the decision-making and curriculum development processes of the department.
- c. Leadership on the college's standing or ad hoc committees or in some other area of the college's governance, faculty development or curriculum design.
- d. Service as a department, division, or committee chairperson.
- e. Planning special events e.g. conferences, camps, etc.
- f. Development of new programs of study, new courses, and other creative service to the college program.
- g. Administration of an activity grant, club, service learning project, or academic honor society.
- h. Active collaboration leading to student recruitment and/or retention.
- i. Cross-disciplinary support such as preaching in chapel, active participation in a theatre production, volunteering to help at athletic events, etc.
- j. Collaborative efforts to support institutional advancement.
- k. Ongoing participation with advisory council members.
- l. Extraordinary service as faculty marshal, faculty athletic representative, etc..
- m. Mentoring of younger faculty.
- n. Active participation with Institutional Advancement.
- o. Outreach to alumni.

### ***Service to the Community***

- a. Involvement in community activities.
- b. Lectures and presentations to community groups, drawing on the faculty member's expertise in his/her discipline or special skills and knowledge.
- c. Leadership on educationally oriented task forces or committees.
- d. Service on educationally oriented community bodies, e.g. school board, library board, arts council, chamber of commerce education committee, etc.
- e. Leadership for the community in an area of need related to the faculty member's expertise, or personal interest, e.g. environmental protection for a faculty member in the sciences, literacy for a faculty member in teacher education or English, social services for a faculty member in the social sciences, church and conference leadership for a faculty member in religion, etc.

### ***Service to the Discipline***

- a. Active leadership in appropriate regional or national professional organizations.

- b. Service in a professional area as a consultant or resource person.
- c. Professional service such as editing, leadership in professional organizations, or leading workshops.
- d. Professional consulting.
- e. Serving as an external examiner.

## **4.7.2 Student Evaluations**

Each faculty member shall arrange for the administration of student class evaluations according to the following general guidelines.

Materials for the evaluation will be distributed to faculty members during the course of the semester and all materials are to be returned to the vice-president of academic affairs office by the deadline indicated in the evaluation materials.

The evaluation should be administered during normal class time and the faculty member should not be present while students are completing the work. Due to processing time, the results of the evaluation normally will not be available to the faculty member until the following semester after grades have been submitted to the registrar. Upon receiving the report, faculty members are encouraged to visit with their division chair about the results and to explore potential indicators for improvement.

All faculty are encouraged to employ their own evaluation instruments for mid-semester and/or end-of-semester evaluation. In addition to classroom evaluation by students, the vice-president of academic affairs and the division or departmental chair/program director may sample student responses to teaching and advising by means of focus groups or individual interviews during the years in which faculty members are formally evaluated. Results from these activities and interviews will be shared in the evaluation document written by the division chair, with specific opportunity for response from the faculty member.

## **4.7.3 Evaluation Information Gathering Process**

During the year in which a faculty member undergoes a formal evaluation:

- a. The vice-president of academic affairs will contact all faculty members who are undergoing evaluation. The vice-president of academic affairs will provide an informational meeting early in the fall term for those persons who are scheduled to undergo review during the academic year. The chair of the faculty personnel committee and the faculty chair will also attend this meeting.
- b. The division chair will ask the faculty member for nominations of three faculty colleagues and three students who will form the basis of two focus groups and provide feedback for the evaluation document. The division chair will also ask the faculty members for appropriate times for classroom visits. The division chair will summarize results of focus groups and classroom visits. This information and the faculty portfolio are used as the basis of the written evaluation document.
- c. The faculty member will submit a portfolio to their division chair by March 1. The division chair will review the portfolio and, together with information from the focus groups and classroom visits, draft an evaluation document for the faculty member. The division chair will review and discuss a professional goal(s) for each of the four categories of evaluation as

- identified in section 4.7.1 as suggested by the faculty member in order to provide guidance for improvement in instruction and service.
- d. Since the purpose of evaluation is improvement, failure to attain an established goal is not grounds for dismissal. However, repeatedly missing goals may be taken into consideration for contract renewal, promotion and tenure.
  - e. Once a draft evaluation is written, the division chair will arrange a meeting with the faculty member. The vice-president of academic affairs may also attend this meeting at the faculty member's request. At that time, the Chair and the faculty member will review and discuss the evaluation and the professional goal(s) for each category of evaluation. Following this meeting the division chair will finalize the evaluation document and both the Chair and the faculty member will sign the document. By signing, the faculty member is acknowledging an understanding of the evaluation's contents. It does not signify agreement with the contents nor does it preclude an opportunity to appeal the evaluation by the faculty member (see section 4.7.4).
  - f. By April 1, the division chair will send the portfolio and evaluation to the vice-president of academic affairs for review.
  - g. Prior to recessing for the summer break, the faculty member will have a final evaluation meeting with the vice-president of academic affairs and division chair. In this meeting the evaluation document is reviewed, concerns are addressed, and the weights of the four categories of evaluation (section 4.7.1) are modified to reflect the established professional goals.
  - h. By May 15, the vice-president of academic affairs will issue a formal letter to both the faculty member and the division chair stating that the evaluation has been reviewed and that a copy will be retained in the Human Resources Office. Copies of this letter and the evaluation will be inserted into the faculty member's portfolio and returned to the faculty member.

#### **4.7.4 Evaluation Appeal Process**

Signing a division chair's evaluation acknowledges an understanding of the contents of the evaluation but it does not signify agreement with the evaluation. If a faculty member believes that the evaluation written by the division chair is unfair and/or inaccurate, the faculty member may appeal to the vice-president of academic affairs. A formal appeal should be made in writing and submitted within 30 days of having received the initial evaluation from the division chair.

Upon receiving an evaluation, the vice-president of academic affairs will investigate the points in question. The investigation may include consultation with the division chair, focus group members, or additional colleagues or students as necessary. A finding in favor of the appeal will result in a revision of the final evaluation.

If the vice-president of academic affairs finds in favor of the contested evaluation, the faculty member may make a written appeal to the president. The decision of the president is final.

#### **4.7.5 Special Evaluations**

An evaluation may be initiated during years when formal evaluations are not normally scheduled if specifically requested by the faculty member, the program director or division chair, the vice-

president of academic affairs or the president. The rationale for persons other than the faculty member requesting this special review shall be expressed in writing and submitted to the vice-president of academic affairs, who will present it to faculty member to be evaluated.

#### **4.7.6 Evaluation of Affiliate, Adjunct and Per-Course Faculty**

Full-time faculty members, who are issued term contracts, as described in subsection 4.2.4, will not be formally evaluated during the year of that contract unless there is serious consideration of appointing the person to a second term contract. In that case, the faculty member will be informally evaluated by the division chair/program director and the vice-president of academic affairs without implementing the full information gathering process outlined above. If the faculty person is appointed repeatedly, the vice-president of academic affairs and the division chair/program director shall evaluate the faculty member every third year.

### **4.8 Promotion Policies and Procedures**

A primary means for the college to sustain and improve its academic stature is to support and enhance the quality of its faculty. Promotion in academic rank is one means by which the college encourages, recognizes, and rewards faculty members for excellence in the performance of their duties.

#### **4.8.1 Procedure for Promotion**

The recommendation for promotion in rank is essentially a peer process at Southwestern College, although subject ultimately to the approval of the president and the Board of Trustees.

Applications for promotion are to be made to the chair of the faculty personnel committee on or before the first working day in December of the year prior to the year in which the promotion is desired. The applicant will first be asked to provide basic eligibility information in a format designed by the personnel committee. If found eligible to apply, the faculty member will be asked to present a professional portfolio on or before the first working day in February that includes the most recent written evaluation by the vice-president of academic affairs.

The promotions subcommittee of the personnel committee shall consist of a minimum of five members who, as full-time faculty have served a minimum of three years at the college at the assistant professor rank or higher and are not being reviewed for promotion. Additional faculty from another committee who meet the above requirements can be recommended for addition to the promotions subcommittee by vote of the faculty, if that becomes necessary to reach the number of five. The following procedures guide the promotions subcommittee in evaluating applications for promotion:

- a. A quorum shall consist of all promotions subcommittee members. Normally, no business shall be transacted if any member is missing. This procedure may be modified by members present, if necessary. The vice-president of academic affairs shall be present as an ex-officio member and be empowered to share appropriate information to support the decision making process. The vice-president of academic affairs shall abstain from voting on promotion recommendations, except in the case of a tie vote.
- b. All deliberations are to be held permanently confidential. No information of what is said or done at any faculty personnel committee or promotions subcommittee meeting focusing on promotions is to be discussed outside that meeting, except by unanimous vote of the committee, by court order, or under the provisions of section 4.12.

- c. The process shall be completed with recommendations to the president on or before April 1 of the year prior to the academic year in which the promotion would be implemented.
- d. The promotions subcommittee shall make its recommendations based on each candidate's merits, not on financial or other administrative considerations.
- e. A two-thirds majority will result in a positive recommendation by the promotions subcommittee for promotion.
- f. Promotions subcommittee votes are by secret ballot. Ballots will be counted by the vice-president of academic affairs and the faculty member of the committee senior in years of service at the college. Results shall be announced to the other members of the committee as favorable or unfavorable without disclosure of voting numbers. Ballots are destroyed after announcement of vote. The recommendation of the promotions subcommittee shall be presented to the president by the vice-president of academic affairs. If the recommendation is for approval and the president concurs, the president shall then recommend the candidates to the Board of Trustees for final approval at the April meeting of the board. Promotions shall be implemented only after approval by the Board of Trustees.
- g. All candidates will receive written notification from the vice-president of academic affairs and the promotions subcommittee indicating the subcommittee's decision and rationale for that decision. This letter shall be circulated to all promotions subcommittee members for possible amendment or correction before being sent to the candidate.
- h. If a candidate receives a negative recommendation, the candidate may request additional information from the promotions subcommittee concerning the rationale for the decision. In that case, the committee will draft an additional document, which includes more detailed information relating to the criteria for promotion and the rationale for the decision.
- i. A candidate receiving a negative recommendation may appeal the decision of the promotions subcommittee. The faculty review committee shall serve as the promotions review committee and proceed according to the processes described in section 4.12.

## **4.8.2 Promotions Eligibility and Criteria**

Advancement in rank shall not be automatic after a set period or after attainment of the required minimum preparation or experience. Advancement in rank comes only through the process described above. Minimum qualifications for rank determine eligibility for promotion.

Additional qualitative standards will be applied by the faculty personnel committee to determine whom among those eligible should be recommended for promotion.

For promotion, the criteria set forth below must normally be met. Any criteria may be waived by the promotions subcommittee for a candidate presenting documented, exceptional accomplishments in most of the applicable criteria.

Throughout these sections pertaining to specific ranks, a college of “recognized standing” shall mean a college, accredited by an association, e.g., the North Central Association of Colleges and Secondary Schools, or that is a recognized college of international standing.

### ***4.8.2.1 Instructor Rank, Initial Appointment***

The instructor rank is assigned upon initial appointment, as described in section 4.1.2. Therefore, the promotions process is not carried out for this entry-level appointment. However, for clarity in

distinguishing the instructor rank from other ranks, an instructor is a full-time or pro-rata faculty member with:

Eligibility: A master's degree or the equivalent from a college of recognized standing.

Criteria: Proven or presumptive potential for satisfactorily fulfilling the duties and responsibilities of a faculty member as set forth in section 4.5.

#### ***4.8.2.2 For Promotion to Assistant Professor***

An assistant professor is a full-time or pro-rata faculty member with:

Eligibility: An earned doctoral degree or an equivalent terminal degree from a college of recognized standing, or a master's degree from a college of recognized standing with a minimum of three years of teaching experience.

Criteria:

- a. Proven or presumptive potential for satisfactorily fulfilling the duties and responsibilities of a faculty member as set forth in section 4.5;
- b. Proven or presumptive scholarship in the individual's academic area of expertise;
- c. Competence in instruction and promise of growth in teaching effectiveness; and
- d. Promise of growth in scholarly or creative productivity.

#### ***4.8.2.3 For Promotion to Associate Professor***

An associate professor is a full-time or pro-rata faculty member with:

Eligibility: An earned doctoral degree or equivalent terminal degree from a college of recognized standing, or a master's degree from a college of recognized standing, and with a minimum of six years of full-time teaching experience in the rank of assistant professor, with a minimum of three years of teaching at Southwestern College;

Criteria:

- a. Evidence of ongoing success in improving teaching and advising effectiveness;
- b. Evidence of ongoing scholarly or creative productivity at the assistant professor rank;
- c. Ongoing college and professional service;
- d. Evidence of support for and involvement with the general education program; and
- e. Noteworthy professional achievement.

#### ***4.8.2.4 For Promotion to Full Professor***

A professor is a full-time or pro-rata faculty member with:

Eligibility: An earned doctoral degree or equivalent terminal degree from a college of recognized standing and a minimum of six years of full-time teaching experience in the rank of associate professor with a minimum of three years of full-time teaching at Southwestern College;

Criteria:

- a. Evidence of excellence and distinction in teaching and advising;
- b. Evidence of ongoing scholarly or creative productivity at the associate professor rank;
- c. Ongoing college and professional service;

- d. Evidence of continued support for and involvement with the general education program;
- e. Colleague recognition and trust; and
- f. Noteworthy or outstanding professional achievement.

## **4.9 Tenure Definition and Purposes**

Tenure is the right of a faculty member to hold a continuous faculty position without separation except for the reasons and in the manner provided in this volume IV. Institutions of higher education are conducted for the common good, which depends upon the free search for and exposition of truth by teachers and scholars. The college recognizes the value of tenure for promoting academic freedom as well as ensuring stability in a community of teachers and scholars dedicated to these ideals. Tenure is also granted for the purpose of attracting and retaining superior faculty members.

The responsibility for making decisions in the granting of tenure rests with the president, with confirmation by the Board of Trustees. The president's decision shall be based upon the recommendation of the vice-president of academic affairs, who will consult with the appropriate division and department chairs and the tenured members of the faculty personnel committee. Appropriate portfolio and evaluation information will be shared by the vice-president of academic affairs with the faculty personnel committee as part of the evaluation process during the intensive evaluation on step five (5) of the tenure track, as described in subsection 4.9.4. In addition to the qualifications of the candidate, other considerations which enter into an individual decision to confer tenure include the particular needs within an academic unit and the financial resources of the college and these will be especially reviewed in steps five (5) and six (6).

Tenure at the college is ordinarily granted after a pre-tenure period of six years of faculty service at the college. While the fifth year evaluation is pivotal in the pre-tenure process, the final decision on the granting of tenure is not made until the fall term of year six, subject to the consultations required above. Credit toward tenure may also be granted by the president on appointment to a faculty member who has been tenured or has held equivalent faculty status elsewhere. However, this grant of credit toward tenure or tenure itself, while within the authority of the president on appointment, will be extended to a new faculty member only in the most unusual circumstances.

### **4.9.1 Criteria for Tenure**

The process of granting tenure is linked directly to the faculty evaluation process (section 4.7) and. Every time a faculty member is granted tenure, those standards are recognized, reinforced, and renewed. Therefore, tenure is not a reward for years of service but recognition of superior service and potential that merits an invitation to spend the remainder of the faculty member's career at the college.

The criteria for the granting of tenure shall be synonymous with the criteria for faculty evaluation in section 4.7. The faculty member so honored shall be considered superior in all phases of service including (1) teaching effectiveness, (2) service to students, (3) scholarship, and (4) service to the institution, community, and discipline, or demonstrate achievement so exceptional in one or more of these categories that the granting of tenure is justified.

## **4.9.2 Eligibility for Tenure**

- a. A faculty member shall be eligible for tenure only if the position is defined as a tenure-track position and the faculty member is recognized in the contract as eligible for tenure by virtue of status as a full-time faculty member or by having primary faculty responsibilities and status, even while assigned significant non-teaching or administrative duties.
- b. A faculty member shall be eligible for a contract granting tenure upon completion of six years of college teaching, at least three of which shall have been at the college, and upon the issuance of a contract specifying the offer of tenure for the seventh year of service. Hereafter, “years of service” will refer to the length of service at the college, including any credit approved for service at other institutions. This credit shall be recognized in the first contract offered at the college.

The decision on the granting of tenure is made by the Board of Trustees upon recommendation of the president. The decision shall be communicated to the faculty member on or before December 1 of the sixth year of service. If tenure is not granted, the current (sixth) contract serves as a terminal contract. Limited employment (normally not more than one year) after a failure to earn tenure may be an option if it serves the best interests of the institution and serves a role in the planned transition of the faculty member.

- c. Accumulation of time toward tenure shall be suspended, but not lost, during leave of absence for study, illness, exchange of teachers, military service, travel, or administrative service by mutual agreement between the president and the faculty member. Any agreement to count service at another institution or in another role shall be formalized in writing, with the approval of the president, prior to the beginning of the contract year of leave. Any faculty member who resigns prior to the granting of tenure forfeits the time accumulated and, if reemployed, may have that time restored only upon the recommendation of the president and the approval of the Board of Trustees.
- d. A faculty member begins progress toward the possible grant of tenure by means of a formal evaluation performed annually during the first three years of employment (see section 4.5.) The faculty member may request and enter into a pre-tenure peer mentoring process during the fourth year in consultation with the vice-president of academic affairs. The peer mentor will be assigned as a result of a consultation among the faculty member, the academic dean vice-president of academic affairs, and the division chair. The formal evaluation in the fifth year is pivotal in the tenure decision, although that decision itself is not made until the fall of the sixth year by the president and Board of Trustees.

## **4.9.3 Faculty Granted Tenure under Previous Systems**

The status of faculty members tenured under previous systems is not changed by the provisions in this volume IV.

## **4.9.4 Tenure System for all new Faculty, 1994-1995 Onward**

<b>Years of Service (Step)</b>	<b>Length of Appointment</b>	<b>Activity</b>
2–3	1 year	Annual evaluation
4	1 year	No evaluation, voluntary pre-tenure process
5	1 year	Formal, intensive evaluation

6	1 year	Tenure decision on or before December 1
7	Tenure	Contract reflecting tenure, with evaluation every 5 <sup>th</sup> year

## **4.10 Faculty Compensation Policies**

The college is committed to providing adequate and equitable salaries and benefits to faculty. Each year the president presents a draft budget for the subsequent year to the Board of Trustees at their fall term meeting. That proposal includes general salary and benefit level recommendations. The trustees adopt a final version of the budget, including disposition of the salary/benefit recommendations, in January.

The president develops the salary/benefit recommendations for the draft budget in consultation with the faculty personnel committee and the vice-president of academic affairs. The committee, or a designated representative, engages in research on salary levels at comparable institutions, assesses the levels and distribution of compensation at Southwestern College, and shares the results of this research with the faculty, the president, the vice-president of academic affairs, and the trustees business affairs committee. Once a budget is adopted by the board, individual salaries are approved for inclusion in faculty contracts by the president based on recommendations by the vice-president of academic affairs.

## **4.11 Separation**

At times, the college or individual faculty members may find it necessary to end their contractual relationship. To protect the interests of both parties, categories of separation are here defined, and the policies and procedures related to each are set forth. Types of separation are resignation, retirement, non-reappointment, layoff, suspension or dismissal for cause, and termination at end of contract/voluntary separation.

### **4.11.1 Resignation**

Voluntary resignation may take effect at the end of any year of service, providing that written notice of this intention is given on or before April 1. If a new contract for the upcoming year has been signed by April 1, any resignation request after that date shall be given sympathetic consideration by the administration but will require written authorization from the president in order to release the faculty member from that contract.

### **4.11.2 Retirement**

Faculty members who have reached age 59 ½ may retire with TIAA-CREF benefits.

### **4.11.3 Non-Renewal of Faculty Members with Notice Contracts**

The college may elect not to renew the contract of a non-tenured faculty member holding academic rank, providing notice shall be given on or before February 1 to persons in years of service one through two, and on or before December 1 of the third year of service (or the equivalent on the tenure ladder) and thereafter.

Since a notice of non-renewal is not a dismissal for cause, it is not necessary for the college to set forth its reasons.

Should the faculty member whose appointment is not extended obtain another position before the end of the academic year in which notification of such non-extension occurs, the contract in force can be cancelled by mutual agreement with the president of the college.

Legitimate reasons for non-reappointment of faculty employed pursuant to a notice contract may include but are not limited to the following:

- a. Cancellation of or change in a program as defined in subsection 4.11.5.1;
- b. Declining enrollment;
- c. Need for reduction in staff;
- d. Incongruence between the teaching interests of the faculty member and the educational goals of the college;
- e. Unfavorable reviews of the faculty member's major appointment responsibilities of teaching or advising and other appointment responsibilities as illustrated in section 4.5 or as evaluated according to the procedures of section 4.7.

The decision not to reappoint a faculty member is made by the president except that any such decision may not be discriminatory, arbitrary or capricious. The president shall act after receiving the written recommendation of the vice-president of academic affairs, who shall have consulted with the appropriate division chairperson or program director. If the faculty member is the division chairperson, the vice-president of academic affairs consults with the remaining division chairpersons.

In cases where faculty members believe that non-reappointment has been discriminatory, arbitrary or capricious, they may commence a grievance in accordance with procedures established in section 4.12 of this volume IV. The burden of proof lies with the faculty member. The review of the faculty review committee shall be limited to determining whether the non-reappointment was motivated solely by unlawful discrimination or whether there was a reasonable basis for the decision.

#### **4.11.4 Disability**

If mental or physical incapacity substantially impairs the ability of a faculty member to perform assigned duties and the inability cannot be reasonably accommodated, that person, with or without tenure, may be relieved of duties by the college.

#### **4.11.5 Layoffs**

Layoff is a severance action by which the college terminates the services of a ranked faculty member before the expiration of a current contract, without prejudice as to performance. Reasons for layoff include:

- a. Major changes in curricular requirements or academic programs;
- b. Enrollment emergency; and
- c. Financial exigency.

Specific procedures for layoff can be found below.

##### *4.11.5.1 Major Changes in Curricular Requirements or Academic Programs*

Termination of a ranked faculty member, with or without tenure, may occur as a result of a significant change, including discontinuation of a curricular requirement, an academic program or department in whole or in part. (A "program" is an organized sequence of courses such as the requirements for a major or special educational project.)

Faculty laid off under a program change will receive at least one year's notice from the time of an official notice to the faculty member of the decision to change or eliminate a program and be paid at the salary of the contract in force at the time of the notice. The decision to modify a program's individual staffing, short of an enrollment emergency or financial exigency (see below) rests with the president, on recommendation of the vice-president of academic affairs. Major changes in a program or its elimination will be approved by the board of trustees on recommendation of the president. When possible, the college will end such programs, and the faculty member's relationship to the college at the end of an academic semester.

#### *4.11.5.2 Enrollment Emergency*

When a decline in enrollment, a loss of funding or other external factors are such that the institution's projected budget for a given academic year cannot be balanced and no other alternatives except program shifts or cuts are available, the president, after consultation with the executive committee of the faculty and the administrative council will make the policy declaration that the college is in a state of enrollment emergency. The number of FTE students is calculated by the college services office and is used in determining an enrollment emergency.

The president will consult with the executive committee of the faculty and the administrative council in a joint meeting. This group will develop a plan to alleviate the enrollment emergency. Faculty layoff under such a situation shall follow the procedure for layoff designated in this volume IV.

#### *4.11.5.3 Financial Exigency*

Financial exigency is a rare and serious institutional crisis that presents an urgent need for the college to reorder its current expenditures in order to quickly remedy its inability to meet projected annual financial obligations. In considering how to deal with such a financial situation, the retention of a viable academic program is the primary goal, and it must be demonstrated to the faculty, through the executive committee of the faculty, that the faculty is not bearing an undue proportion of the necessary economies.

Decisions regarding necessary program reductions will be made by the president and the vice-president of academic affairs in consultation with the administrative council and the executive committee of the faculty. The decision should be based on advice from the concerned departments, programs, and divisions and related areas of academic concentration as to the short and long-term viability of the proposed program. Final approval rests with the Board of Trustees, based on the president's recommendations.

#### *4.11.5.4 Procedures Regarding Layoff*

When enrollment emergency, financial exigency or major changes in the curricular requirements, academic programs, or divisions in whole or in part necessitate the termination of faculty members, a special layoff advisory committee shall be convened, composed of the vice-president of academic affairs; the division chairs, and the chairperson of the faculty. This committee will consult with the executive committee of the faculty and the faculty personnel committee. The chairperson of the layoff committee shall be elected by its members. The layoff committee shall deliberate to determine the most appropriate action to be taken. Such action may be to eliminate some departments or programs in whole or in part, or to distribute layoffs throughout the faculty so as to prevent the elimination of any program or department. In addition to academic quality and integrity, the layoff committee will primarily consider seniority and equal opportunity.

guidelines as well as a reasonable examination of all the faculty members affected by the changes.

The layoff committee will communicate its recommendation to the president of the college. The president, taking into account the recommendations of the layoff committee, shall then recommend such action as is deemed appropriate to the Board of Trustees for their approval.

In the case of financial exigency where short notices and effective action are necessary, the following procedures may be followed:

- a. The layoff advisory committee may directly advise the president to hold all contracts and serve notice to all faculty with term and notice contracts that such contracts will not be renewed pending a final decision on the seriousness of the financial situation.
- b. A tenured faculty member whose contract is terminated for reasons of permanent curriculum revision, enrollment emergency or financial exigency shall receive a salary for one year after the date of notification of such termination, provided the faculty member carries out the duties assigned by the college during this period.
- c. If a full-time ranked faculty member is laid off, no replacement for that position will be hired within a period of three years unless the laid-off faculty member has been offered reappointment. The conditions of reappointment will be comparable to those held at the time of the layoff; and the faculty member will be given at least one month after written notice of the offer to accept the position. It shall be the duty of the laid-off faculty members to keep the college informed of a current address.

A serious and demonstrated institutional effort will be made to assist such faculty members to find employment either at the college or elsewhere in industry, government, or in other educational institutions. Tenured faculty who have been laid off may be placed in non-teaching positions at the college if there are openings for which they are qualified.

#### *4.11.5.5 Order of Layoff*

Once the academic unit(s) or program(s) to be affected have been determined, faculty layoff shall follow these specific guidelines and procedures.

Prior to involuntary layoffs, the following voluntary measures should be investigated.

- a. If a department, program or division must be reduced by one full-time faculty member, retaining all faculty on a reduced salary and work load should be considered. For example, if a department with five persons is to be reduced to four, all five could volunteer to go on four-fifths salary and workload, thus keeping everyone employed during the crisis. While such a program is appealing, its voluntary nature must be emphasized.
- b. The possibility of voluntary, early or gradual retirements should be investigated.

Following implementation of any voluntary measures, layoffs will proceed as follows:

- a. All administrative ranked faculty (not including division chairs) should first be laid off within the department, program or division involved unless program integrity would be adversely affected.
- b. All term and notice contract faculty should be laid off within the department, program or division involved unless program integrity would be adversely affected.

- c. Taking program integrity and seniority into consideration, probationary faculty will be laid off next.
- d. If tenured faculty members are laid off, the following order will be followed considering program first: lowest rank, lowest degree in rank, lowest seniority in rank. The vice-president of academic affairs shall provide the official documentation on rank, degrees and seniority.

Faculty members who receive notice of layoff have the right to file a grievance with the faculty review committee (see section 4.12). The issue of the grievance shall be confined to procedural issues, adequacy of sources of data, and evidence for the need of the layoff. A layoff will not be delayed in the case that the grievance is not settled by the effective date of layoff; nor will the grievance procedure be interrupted or denied because of the layoff.

#### **4.11.6 Dismissal for Cause**

Dismissal for cause is a severance action by which the college terminates its contract with the faculty member for just cause. Any teaching contract is subject to action under this subsection. Dismissal for cause must be directly and substantially related to the fitness of a faculty member to continue in their professional capacity as a faculty member. Dismissal for cause will not be used to restrain a faculty member's academic freedom. The faculty personnel committee shall serve in an advisory capacity to the president of the college on dismissal for cause.

Dismissal proceedings may be instituted on the following grounds:

- a. Professional incompetence;
- b. Failure to perform job related assignments or other neglect of academic duties;
- c. Breach of any term or condition of employment or other serious personal misconduct;
- d. Formal or overt rejection of the fundamental mission and purpose of the college;
- e. Knowing or reckless violation of the professional ethics of the college or of the rights and freedom of fellow faculty members, administrators, or students;
- f. Knowing or reckless violation of established legal rights of students or employees of the college including, without limitation, any form of discrimination or harassment;
- g. Conviction of a crime directly related to the faculty member's fitness to practice the faculty member's profession;
- h. Dishonesty, including, but not limited to, plagiarism, falsification of credentials or experience, or the misappropriation or misapplication of funds; or
- i. Failure to follow standards of the institution in respect to standards, policies, directives and guidelines within this policy manual after oral and written warnings.

The process for implementing dismissal for cause shall include the following:

- a. Written notice to the faculty member from the vice-president of academic affairs that a recommendation for dismissal for cause shall be made to the president. This notice shall contain a statement of the grounds upon which the recommendation is to be made, and a brief summary of information supporting such grounds;
- b. A reasonable opportunity for the faculty member to meet with the vice-president of academic affairs to present the faculty member's defense to the dismissal recommendation before the recommendation is made; and

- c. A reasonable opportunity for the faculty member to meet with the president of the college to present the faculty member's defense to the dismissal recommendation if it is accepted by the president.

The president shall make the ultimate decision regarding termination.

In any case involving dismissal for cause, the burden of proof that just cause exists shall be on the college, which proof shall be by a preponderance of the evidence in the record considered as a whole.

The decision to terminate a faculty member for cause may be the basis of a grievance before the faculty review committee, which shall review the case in accordance with procedures established in section 4.12 of this volume IV.

#### **4.11.7 Action Short of Dismissal**

Depending on the circumstances, the president of the college may elect to impose a disciplinary action short of dismissal, for causes listed in subsection 4.11.6, such as suspension for a period of time with or without pay or withdrawal of faculty privilege. In unusual circumstances, the president of the college may take disciplinary action without previous citation or warning. Suspension may also be the temporary separation of a faculty member from the college, when it is determined by the president of the college that there is a strong likelihood that the faculty member's continued presence at the college poses an immediate threat or harm to the college, or to individual members of the college community. Such suspension shall be with pay and shall last only so long as the threat of harm continues or until dismissal for cause occurs.

In view of the past merits of a faculty member, final action by the president of the college may take a milder form of temporary suspension rather than outright dismissal. Such suspension may not last beyond a full year, but may entail the total or partial discontinuance of all salaries and benefits, the suspension of all promotion and salary increments, and the temporary suspension or withdrawal of all faculty privileges. The faculty personnel committee shall serve in an advisory capacity to the president of the college on such matters. The faculty member so disciplined has the right to institute the grievance procedure described in section 4.12. The decision of the president of the college after such a review shall be final.

#### **4.11.8 Progressive Discipline of Faculty Members**

Discharge for cause should, except in extraordinary circumstances, be preceded by a written admonition by the appropriate administrative officer describing the alleged problem and warning that the faculty member's contract status is in jeopardy. The warning must also stipulate a period of time within which correction of the alleged problem is expected. If the faculty member does not contest the allegation and fulfills the faculty member's duties, the matter is settled. If the faculty member fails to correct the problem, dismissal procedures or a lesser sanction may be applied.

Disciplinary actions described in subsections 4.11.7 and 4.11.8 may be appealed through the grievance procedures in section 4.12.

### **4.12 Grievance Policy**

The college recognizes and endorses the importance of academic due process and of the ability to adjudicate grievances properly and without fear of prejudice or reprisal. While the college encourages the informal and prompt settlement of grievances, in some instances differences

cannot be settled informally, and in such instances the college endorses the application of the orderly processes herein set forth. The procedures that follow are designed to protect the rights of faculty members to academic due process and to academic freedom. It is the intent of the college that these procedures be the sole method for the resolution of all applicable grievances.

The college grievance process is an internal process, managed by the faculty review committee. That committee functions only when a grievance is filed. Due to the episodic nature of its activity, election to membership does not excuse a faculty member so elected from service on one of the standing committees of the faculty.

When a complaint equivalent or substantially similar to a grievance (as defined below) has been filed with an outside agency, the faculty review committee shall not hear the matter unless there is evidence that such a hearing would facilitate the resolution of the complaint. Any such complaint which has been filed and resolved by an outside agency cannot then be presented as a grievance internally to the college.

The faculty review committee reserves the right to deny continuance of the grievance process to a grievant who has actively sought to involve a lawyer in the committee's processes or in the personal or written process of presentation of the complaint to the committee.

### **4.12.1 Definition of Grievance**

A grievance is defined as an allegation by a faculty member, a group of faculty members, or the faculty that one of the following situations has occurred:

- a. An alleged breach or misinterpretation of the terms of the agreement embodied in this volume IV of the policy manual; or
- b. An alleged violation of college policy or procedure as set forth in any volume of the policy manual.

### **4.12.2 Informal Procedures**

Upon the occurrence of an allegedly grievable offense, a faculty member may file a written grievance with the faculty review committee. Grievances must be received in writing by a member of the faculty review committee within 21 calendar days of when the grievant first knew or, through the exercise of reasonable diligence, should have known of the occurrence of the event(s) upon which the grievance is based. The calculation of these calendar days should exclude official college holidays.

The faculty review committee will consider all written grievances, together with any supporting evidence submitted by a faculty member, a group of faculty members, or the faculty. Written grievances should set forth in detail (1) the alleged wrong; (2) against whom the grievance is directed; (3) the relief or remedy sought by the grievant; and (4) any other data deemed pertinent by the grievant.

The faculty review committee will attempt to settle the grievance by informal methods. In the course of doing this, the faculty review committee will collect pertinent documents and will conduct informal discussions among the concerned parties, at all times preserving the confidentiality of the proceedings.

If a faculty member alleges that a decision regarding non-reappointment or denial of promotion was based on inadequate consideration, the faculty review committee will determine whether the

decision was the result of adequate consideration in terms of the relevant standards set forth in this volume IV of this policy manual.

The faculty review committee will not substitute its judgment on the merits of the decision for the judgment of the deciding person or persons. If the faculty review committee believes that adequate consideration was not given to the faculty member's qualifications, it may request reconsideration by the deciding person or persons, indicating the respects in which it believes the consideration may have been inadequate.

If the faculty review committee finds that a grievance does not merit a formal hearing, except in cases described in subsections 4.12.2.1 or 4.12.2.2, the process shall then end. When the grievant has a right to a formal hearing, as delineated in subsection 4.12.2.1, the faculty review committee is required to authorize a formal hearing upon request by the faculty member.

Since the informal consideration of allegations by the faculty review committee is the first step in the grievance process, it cannot be bypassed. However, the grievant may choose to waive a formal hearing before an ad hoc hearing committee if one is called for and proceed to the appeal process set forth in subsection 4.12.4.

The faculty review committee has the authority to resolve the grievance at the informal level, if the parties to the grievance accept the settlement. Such a settlement shall not set a precedent.

#### ***4.12.2.1 Allegations Involving Individual Faculty Members***

If the grievant is an individual faculty member and the grievance cannot be resolved by the informal methods of the faculty review committee, the grievant may request formal consideration by the grievance hearing committee (see subsection 4.12.3). This hearing committee will hear any grievance sent to it by the faculty review committee. Decisions of the grievance hearing committee, however, may be appealed only as set forth in subsection 4.12.4.

An individual faculty member has a right to a formal grievance when the unresolved grievance includes, but is not limited to, one of the following:

- a. Dismissal of the faculty member;
- b. Suspension or reassignment of the faculty member;
- c. Layoff of the faculty member;
- d. Non-reappointment of the faculty member;
- e. Denial of promotion of the faculty member; or
- f. Denial of placement within the general salary schedule commensurate with the qualifications of the faculty member.

With regard to the foregoing six items, the grievant may allege only that one of the following situations has occurred:

- a. A decision was based on considerations that violate the faculty member's academic freedom;
- b. A decision was based on considerations that violate the governing policies bearing upon nondiscrimination with respect to race, gender, religion, national origin, marital status, disability or other factors which cannot lawfully form the basis for an employment decision;
- c. The faculty member's specific contract provisions were not taken into consideration;

- d. Appropriate college or committee procedures, as set forth in this section 4.12 or elsewhere in this volume IV of this policy manual were violated.

#### ***4.12.2.2 Allegations Involving More Than One Faculty Member***

If the grievant is the faculty or a group of faculty members and the grievance cannot be resolved by informal methods, the faculty review committee will present a recommended resolution of the grievance in writing to all parties and to the president of the college within 14 calendar days after receipt of the grievance. This resolution can be accepted by both parties or rejected by either party. Rejection or acceptance by each party will be communicated in writing to the faculty review committee with a copy to the president of the college within seven (7) calendar days of receipt of the recommended resolution from the faculty review committee. Any rejection must include the reasons for rejection and, if desired, suggested alternative solutions. If the matter remains unresolved for an additional 14 calendar days following the receipt of a response from each party, either party may request that the grievance proceed to subsection 4.12.4.

### **4.12.3 Formal Hearing Procedures**

#### ***4.12.3.1 Notification by the Faculty Review Committee***

When a formal hearing is to be conducted, the faculty review committee will provide written notification to the parties involved and to the president of the college.

#### ***4.12.3.2 Formation of the Grievance Hearing Committee***

The faculty review committee will supervise the formation of a grievance hearing committee to conduct formal hearings. Following the election of the members of the faculty review committee, the faculty will nominate faculty members for a pool of potential members for a grievance hearing committee, if and when such an ad-hoc committee is required. The nominations shall be by secret ballot. Faculty members already elected to the faculty review committee shall not be eligible for nomination for the pool. The eight (8) persons receiving the highest vote totals shall constitute the pool. Election to the pool shall not foreclose service on any faculty standing committee or other committee or council, except the faculty review committee.

When a hearing committee is required, the hearing committee will be formed as follows: the grievant will select two faculty members from the pool as the first and second members of the hearing committee; the president of the college or the president's designee will then select two (2) faculty members from the pool (if the grievant is an individual, these selections shall not be the grievant's division chairperson) as the third and fourth members of the hearing committee; these four hearing committee members thus chosen will select a fifth member who will be the chairperson of the hearing committee.

#### ***4.12.3.3 Date, Time and Place of Formal Hearing***

The hearing committee will set a date, time and place for the formal hearing that is agreeable to all parties concerned. The arrangements should be completed within ten (10) calendar days after receipt of the grievance by the hearing committee from the faculty review committee.

The formal hearing will begin no more than ten (10) calendar days after completion of the arrangements, during which time all parties shall prepare evidence and obtain documentary and other information.

#### *4.12.3.4 Due Process in Proceedings*

The formal hearing will be conducted in private and the parties will make no public statements about the case during the course of the hearing.

The chairperson of the hearing committee will conduct all meetings and hearings deemed necessary by the hearing committee to resolve the grievance. The grievant may have an advisor present only to provide advice to the grievant. Such an advisor may not address the hearing committee without the permission of the chairperson.

All parties to the grievance will have the right to obtain witnesses and present evidence. If either the college or the hearing committee feels that an independent medical or psychological opinion would be helpful in the deliberations of the hearing committee, the faculty member may be required to undergo a medical or psychological examination by an appropriate professional of the requesting party's choice and at the college's expense. If the grievant fails to comply with such a requirement by the college or the hearing committee, the hearing committee will dismiss the grievance.

The college will cooperate with the hearing committee in securing witnesses and making available documentary and other evidence requested by the grievant to the extent not limited by law. All parties will have the right to cross-examine witnesses. Where a witness has made a statement and cannot or will not appear, but the hearing committee determines that fairness requires admission of the witness' statement, the hearing committee will identify the witness, disclose their statement, and if possible, provide for interrogatories. The hearing committee will grant appropriate continuances to enable either party to investigate evidence or for any other appropriate reason.

A documented and demonstrable effort will be made to obtain the most reliable evidence available; however, the hearing committee will not be bound by strict rules of legal evidence.

#### *4.12.3.5 Burdens of Proof*

In cases involving non-reappointment, denial of promotion, or determination of salary, the burden of proof that adequate cause exists for the grievance, shall be on the grievant which proof shall be by a preponderance of the evidence.

In any case of dismissal, suspension or layoff, the burden of proof that adequate cause exists for the action shall be on the college, which proof shall be by a preponderance of the evidence. In cases involving termination, a determination that an academic program is to be discontinued will be considered *prima facie* valid, providing that the applicable procedures set forth in section 4.11 in this volume IV of the policy manual have been followed.

#### *4.12.3.6 Record of Hearing*

The formal hearing shall be recorded by the college and made available to the hearing committee. The costs of this recording shall be borne by the college. Copies or transcripts of the recording shall be provided at the expense of the party(ies) requesting it.

#### *4.12.3.7 Recommendations*

The recommendation of the hearing committee will take the form of findings of fact, conclusions, and recommended disposition of the grievance which must be based solely on the hearing record, and pertinent college procedures as set forth in this section 4.12 or elsewhere in this volume IV of this policy manual, as well as applicable law.

The hearing committee will present its recommendation, in writing, to all parties and to the president of the college within seven calendar days of the conclusion of the formal hearing. This decision, insofar as it consists of a recommended disposition of the grievance, may either be accepted by both parties or rejected by either party. Rejection or acceptance by each party will be communicated in writing to the hearing committee, with a copy to the president of the college, within five calendar days of receipt of the recommendation of the hearing committee.

#### **4.12.4 Appeals**

The grievant(s) may, within ten (10) calendar days of receipt of the recommendation of the hearing committee, or as otherwise provided in this section 4.12, file a written appeal to the president of the college, who shall review the record and respond within ten (10) calendar days as to the final disposition of the grievance within the college. The decision of the president of the college is final, except as provided in subsection 4.12.5 below.

#### **4.12.5 President of the College as Party to Action**

If the president of the college is a direct party to the grievance in the first instance, the grievant(s) may file an appeal, beyond that provided in subsection 4.12.4 above, within ten (10) calendar days of the receipt of the president of the college's decision. Such an appeal is filed with the chairperson of the Board of Trustees. If the Board of Trustees is not scheduled to meet within the next thirty (30) days, the executive committee of the Board of Trustees may act as the Board of Trustees. The Board of Trustees will then review the record of the case at its next meeting and will render a decision on the grievance within ten (10) calendar days of that meeting to all parties. The decision of the Board of Trustees is final.

#### **4.12.6 General Provisions**

The filing or pending filing of any grievance under the provisions of this section 4.12 shall not prevent the college from taking the action complained of, subject to a final decision regarding the grievance.

Failure at any step of this procedure to communicate the decision regarding the grievance within the specified time limits or such additional period of time, as shall be mutually agreed upon in writing, shall permit the grievant to proceed to the next step.

Failure at any step of this procedure to appeal a grievance to the next step within the specified time limits, or such additional period of time as may be mutually agreed upon in writing, shall be deemed to be acceptance by the grievant of the decision rendered at that step.

Extensions of time will normally be granted for good reason (e.g., illness) by mutual written agreement of the parties and the approval of the appropriate committee.

### **4.13 Revision Process for Policies and Procedures Pertaining to Faculty**

While authority to change policy ultimately resides with the Board of Trustees, recommendations for change are invited from all persons involved. Persons seeking to amend a portion of volume IV should present a proposal to the executive committee of the faculty.

With the exception of personnel policies and fringe benefits, policy changes can be written to become effective immediately after approval by the Board of Trustees or to become effective on publication of the next official version (on-line and/or hard-copy) of this document. This volume

shall be available to all faculty members on-line. Any hard-copy version of faculty-related policies in this volume and other volumes shall be published on or before August 1 each year.

Volume IV shall be reviewed annually by the faculty to ensure that all information and approved policies are updated, and that outdated information and policies are removed. Each fall the faculty chairperson and the vice-president of academic affairs, with consultation from committee chairpersons, will assign appropriate sections to committees for review and/or revision.

Committee chairpersons will be notified in writing prior to October 1 of their respective committee's responsibility for review.

Proposed changes in policy shall be presented to the faculty for a reading one month prior to a scheduled vote and can be approved by a simple majority of the faculty voting with a quorum present. Approval by the trustees, on recommendation of the president, will take place at the subsequent trustee meeting. Minor editorial revisions do not require faculty or trustee approval. All annual changes should be completed and approved by the trustees prior to the March 1 issuance of faculty contracts for the subsequent year.

### **4.13.1 Procedure for Revision to Volume IV**

The following procedure is adopted as an orderly process for the initiation and consideration of amendments to all sections of this volume IV of the policy manual.

Except as may otherwise be expressly provided, the rest of the policy manual is not covered by this procedure and may be amended by applicable administrative procedure adopted by the Board of Trustees.

The college and the executive committee of the faculty commit their good faith efforts to the process of achieving agreement on policy issues affecting faculty employment. That commitment shall not prejudice the responsibility and authority of the president of the college and the Board of Trustees to exercise their prerogatives to govern and administer the college.

While recognizing that the adoption of policy, however formulated or proposed, is a power reserved to the Board of Trustees the procedure outlined below is designed to satisfy the need for an orderly procedure allowing all segments of the college to contribute, each in its appropriate capacity, to the formulation or alteration of policy statements. In addition, the procedures set forth in this section 4.14 are calculated to make policy revision effective by introducing into it the principle of self-limitation, which prevents endless debate and allows particular issues to be brought to decisive action.

### **4.13.2 Proposed Amendments**

Proposals for revising volume IV of the policy manual can be made by the Board of Trustees, the president of the college, an administrator, the executive committee of the faculty, any committee or council established pursuant to this policy manual, or individual faculty members.

The proposals shall be submitted to the executive committee of the faculty in the following recommended format:

- a. Proposals should be made in the form of text intended to replace, in whole or part, some current provisions of the policy manual or add new provisions;
- b. A particular proposal should contain no more than one alteration of substance; and
- c. A brief explanation of the reason(s) for the revision should accompany the proposal.

### **4.13.3 Processing of Proposals**

Proposals originated under subsection 4.13.2 shall be considered by the executive committee of the faculty, which shall pursue one of the following courses of action:

- a. The committee may receive and transmit the proposal to the faculty without change or comment;
- b. The committee may endorse the proposal and attach its endorsement to the original proposal;
- c. With the consent of the submitter, the committee may either alter or amend the proposal before transmitting it to the faculty; or
- d. If the submitter does not agree to committee alterations or amendments, the committee may object to the proposal and attach its objections or amendment before sending it to the president of the college and the faculty.

The faculty shall accept or reject the amendment(s) by a simple majority vote. The faculty may modify the proposal and accept the modification, or may return the proposal to the executive committee for further work.

### **4.13.4 Administrative Approval**

After the faculty has endorsed a change in volume IV of the policy manual, it shall submit the recommended change to the president of the college.

If the proposal(s) are approved by the president of the college, the president shall present the proposal(s) to the Board of Trustees for consideration.

If the president of the college disagrees with the proposed changes, the president, citing reasons for the disagreements, and the executive committee of the faculty shall meet to discuss the next steps, which may include further study, modification, or resubmission of the proposal.

Before definitive action on policy manual revision proposals, the Board of Trustees may commission a subcommittee of its members to meet with the president of the college and the executive committee of the faculty to discuss final adjustments in the revised texts;

The Board of Trustees shall either approve or reject the proposed revision; and

The Board of Trustees retains the right, in the best interest of the college and in their fiduciary capacity, to alter the provisions of volume IV of the policy manual after following the procedures in this section 4.13.

### **4.13.5 Emergency Procedure**

If any provision of volume IV of the policy manual is in conflict with federal, or local law or ordinance or is otherwise illegal, invalid or unenforceable to any extent, the provision of this and the application of the provision in question can be changed immediately by the Board of Trustees, on recommendation of the president. Any remaining provisions that are not illegal or enforceable continue to apply. In the case of such a need for emergency revision, the Board of Trustees will vote to approve the revision and, if approved, it will be immediately entered in the on-line edition of the policy manual.

In making emergency recommendations, the president of the college shall consult with the executive committee of the faculty. The proposed change will be considered at the next meeting

of the full Board of Trustees or the executive committee, whichever comes first. The president shall then communicate the decision of the Board of Trustees to the executive committee of the faculty.

#### **4.13.6 General Rules of Implementation**

- a. Any amendments of the provisions of the policy manual approved according to the procedures set forth in this section, 4.13, will take effect and be a part of the next offer of employment extended to any faculty member by the college. For faculty members on contract periods other than the academic year, the amendment shall be effective for and incorporated into any offer of employment scheduled to commence after the beginning of the academic year succeeding the academic year in which the amendment was adopted. Any grandparent provision shall be specific to a given policy and so noted.

In other parts or sections not specifically addressed in this section 4.13, changes may be effected at once by the directive of the president of the college or the Board of Trustees, as appropriate. Such changes, however, may not be inconsistent with this section 4.13 or any sections of volume IV of the policy manual;

- b. All new members of the faculty shall be given access to a copy of the policy manual at the time of their initial appointment as a new faculty member. Continuing members of the faculty will have access to the most current policy manual and be able to review any approved amendments to the manual;
- c. A copy of the policy manual with current revisions shall be available on-line to all full-time employees of the college and hard-copy updated editions shall be available for inspection during regular hours at the offices of the president of the college, the office of the vice-president of academic affairs, and the office of the chair of the faculty; and

Proposed amendments to any part of this volume IV of the policy manual under discussion by the Board of Trustees shall have no status, not even a promissory one, until final action by the Board of Trustees has been taken.

#### **4.14 Faculty Portfolio Guidelines**

A faculty member's portfolio is an evolving, continually updated document that provides evidence of the faculty member's unique contribution to Southwestern College. The following guidelines have been established to standardize the format and content of the portfolios submitted by faculty members as part of the faculty evaluation and promotion application processes.

Faculty portfolios are to be organized into five sections separated by tabs—an introductory section followed by four sections that address the four faculty evaluation criteria of teaching effectiveness, service to students, scholarship, and service to the institution, community, and discipline (see the Southwestern College Policy Manual, Volume 4, section 4.7.1 for a description of the criteria for faculty evaluation). The format and contents of these sections are described below. The entire portfolio (except for material that is not in document form, such as recordings) *must be contained in a single three-inch three-ring binder*. Examples of faculty portfolios can be obtained by contacting the vice-president of academic affairs, or the chair of the faculty personnel committee.

*Introduction*—This section of the faculty portfolio should include a faculty member’s current curriculum vitae and the most recent evaluation by the vice-president of academic affairs.

*Teaching Effectiveness*—This section of the faculty portfolio should begin with a one- to two-page narrative that addresses the faculty member’s teaching effectiveness. All documentation included as evidence in this section must be referred to in the faculty member’s narrative. The narrative should also include a statement of the faculty member’s educational philosophy and a discussion of the faculty member’s plans for teaching improvement. In addition, this section should include a summary of the faculty member’s contributions to the general education program. Possible sources of evidence for this section include:

- Recordings of lectures or presentations
- Campus-administered student evaluations (selected)
- Instructor-produced student evaluations
- Examples of students’ products
- Description of works in progress
- Self-reflection paper(s) with response(s) from peers
- Unsolicited student comments

*Service to Students*—This section of the faculty portfolio should begin with a one- to two-page narrative that addresses the faculty member’s advising effectiveness. All documentation included as evidence in this section must be referred to in the faculty member’s narrative. The narrative should also include a discussion of the faculty member’s plans for advising improvement. Possible sources of evidence for this section include:

- Advising evaluation surveys
- Success of four-year plans for students
- Retention efforts
- Student interviews
- Documentation of student contact

*Scholarship*—This section of the faculty portfolio should begin with a one- to two-page narrative that addresses the faculty member’s scholarship and creativity. All documentation included as evidence in this section must be referred to in the faculty member’s narrative. The narrative should also include a discussion of the faculty member’s plans for scholarly and creative activity. Possible sources of evidence for this section include:

- Syllabi/handouts
- Rewriting of course or program documents based upon faculty development contacts
- Discussion of changes in teaching strategies
- Publications
- Poster presentations
- Workshop presentations

- Performances and creative displays
- Travel
- Supportive documentation from peers regarding creative works
- Formal course work
- Informal (but organized) programs of self-study

*Service to the Institution, Community, and Discipline*—This section of the faculty portfolio should begin with a one- to two-page narrative that addresses the faculty member’s institutional, community, and professional service. All documentation included as evidence in this section must be referred to in the faculty member’s narrative. The narrative should also include a discussion of the faculty member’s plans for future service activities. Possible sources of evidence for this section include:

- Discussion of community service and its impact on the Southwestern College community
- Summary of committee work and responsibilities
- Involvement in campus activities
- Department/divisional responsibilities
- Professional service

## 4.15 Types of Scholarship

Scholarship needs to be appropriate to Southwestern College while partaking of the standards for scholarship in the broader academic community. Scholarship can take many forms. To encourage a flexible perspective on the definition of scholarship when applied to faculty evaluation, the following is an explanation of four basic types of scholarship, which reflect the categories proposed by Ernest L. Boyer in *Scholarship Reconsidered* (1990). Therefore scholarship may include, but not be limited to:

- a. *The scholarship of discovery* encompasses those scholarly activities which extend the stock of human knowledge through the discovery or collection of new information. Such scholarship seeks to confront the unknown and typically exhibits a dedication to free inquiry, disciplined investigation, and the pursuit of knowledge for its own sake. The scholarship of discovery includes, but is not limited to, what is sometimes referred to as basic or original research.
- b. *The scholarship of integration* encompasses scholarly activities which are primarily interdisciplinary or interpretive in nature. Such scholarship seeks to better understand existing knowledge by making connections across disciplines: illuminating data in a revealing manner; drawing together isolated factors; or placing known information into broader contexts. It synthesizes, interprets, and connects the findings in a way that brings new meaning to those facts.
- c. *The scholarship of application* encompasses scholarly activities which seek to relate the knowledge in one's field to the affairs of society. Such scholarship moves toward engagement with the community beyond academia in a variety of ways, such as by using social problems as the agenda for scholarly investigation; drawing upon existing knowledge

for the purpose of crafting solutions to social problems; or making information or ideas accessible to the public.

- d. *The scholarship of teaching* encompasses scholarly activities which are directly related to pedagogical practices. Such scholarship seeks to improve the teaching and advising of students through discovery, evaluation, and transmission of information about the learning process.