



**GRINNELL COLLEGE**

# **FACULTY HANDBOOK**

Last Revision: 7-26-24

APPROVED: April 2024

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**Information on various processes and procedures is available on the Dean's Office intranet page at: <https://grinco.sharepoint.com/sites/dean/SitePages/Faculty%20Resources.aspx> .**

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## **Foreword**

This handbook was devised originally by Professor Joseph F. Wall in 1969 and revised in 1972 and 1973. It was thoroughly reworked by the Faculty Organization Committee in 1975-76 and 1976-77. That same body revised it in 1979-80, when it was first put into a computer file. The Faculty Organization Committees of 1981-82 and of 1985-86 prepared editions which incorporated amendments, deletions, and additions after 1977. In 1992-93 the Faculty Organization Committee again prepared a new edition incorporating relevant sections of the Trustee By-Laws, including information to reflect current policies and practices, and creating an electronic copy available on the College computer system. In 1995-96 the Faculty Organization Committee edited and amended the handbook to reflect new legislation abolishing the Division of Special Programs and creating a new Faculty Personnel Committee. In 1999-2000 the Faculty Organization Committee revised the handbook to incorporate sections of the Trustee By-Laws which the Trustees believed should be removed from the By-Laws but retained in the Faculty Handbook. Information regarding benefits was brought up to date and a procedure for amending the Faculty Handbook was approved by the faculty.

The Faculty Handbook is intended as a codification of existing faculty legislation and administrative policy ratified by the faculty and approved by the Board of Trustees.

The Faculty Handbook, while dealing with employment policies and procedures, is not intended to provide any assurance of continued employment and should in no way be construed as an employment contract.

## **Procedure for Amending the Faculty Handbook**

Changes to the Faculty Handbook may be proposed by the Executive Council, any duly constituted faculty or institutional committee, an individual faculty member or College administrator, the President, or the Board of Trustees (B.O.T.). Proposed changes shall be reviewed by the Executive Council or by the Faculty Organization Committee and may be forwarded with any recommendation to the faculty for action. In any case in which an individual faculty member or College administrator proposes an amendment and such amendment is not forwarded to the full faculty, any twelve voting members may require by written petition to the President that the amendment be brought before the full faculty for consideration.

Upon approval by a majority vote of the faculty, changes to the Faculty Handbook are subject to the approval of the President, who shall communicate all proposed changes and the President's decision to the Board Chair. The proposed changes and the President's decision will be on the agenda of the next meeting of the B.O.T. Executive Committee. Absent any B.O.T. Executive Committee action to the contrary, the President's decision with regard to the proposed changes will be deemed ratified by the B.O.T. Executive Committee at the conclusion of the B.O.T. Executive Committee meeting. Notice of the ratification will be given by the Chair of the Board in writing to the President and Dean of the College. The B.O.T. Executive Committee may reject the proposed changes and the President's decision or refer them to the Board for further review and action. In the latter situation, the President's decision on the proposed changes shall be subject to the Board's review and action.

In addition, changes to the Faculty Handbook may be proposed by the Executive Council or the Faculty Organization Committee after giving due notice to the faculty as follows: An amendment to the Faculty Handbook proposed by either of these bodies shall be presented in writing to the members of the faculty for their consideration at least twelve days before a regularly scheduled meeting of the faculty. Any twelve voting members of the faculty may require of the proposers, through the President, that the amendment be considered for approval by the faculty at that meeting. Otherwise, the Executive Council or the Faculty Organization Committee, as the case may be, may approve the amendment.

Upon approval by the Executive Council or the Faculty Organization Committee, changes to the Faculty Handbook are subject to the approval of the President, who shall communicate all proposed changes and the President's decision to the Board Chair. The proposed changes and the President's decision will be on the agenda of the next meeting of the B.O.T. Executive Committee. Absent any B.O.T. Executive Committee action to the contrary, the President's decision with regard to the proposed changes will be deemed ratified by the B.O.T.

Finally, consistent with the reserved powers of the Board of Trustees, the Board may make changes to the Faculty Handbook. Because the Board of Trustees respects the role of faculty governance at Grinnell, such changes will be submitted to the Executive Council or to the Faculty Organization Committee for comment and then to the faculty for its consideration before final action by the Board on the proposed amendment.



## **Nondiscrimination Policy**

Grinnell College is committed to establishing and maintaining a safe and nondiscriminatory educational environment for all College community members. It is committed to a policy of nondiscrimination in matters of admission, employment, and housing, and in access to and participation in its education programs, services, and activities. The College does not discriminate on the basis of race, color, ethnicity, national origin, age, sex, gender, sexual orientation, gender identity or expression, marital status, veteran status, pregnancy, childbirth, religion, disability, creed or any other protected class. Discrimination and harassment on any of the bases covered by state or federal antidiscrimination statutes is unlawful and a violation of Grinnell College policy.

Grinnell College recognizes that harassment can relate to an individual's membership in more than one protected class. Targeting individuals on the basis of their membership in any protected class is also a violation of Grinnell's Community Standards and Responsibilities and may violate the College's Hate Crime and Bias-Motivated Incident Policy. Under these circumstances, the College will coordinate the investigation and resolution, provided that doing so does not unduly delay prompt and equitable resolution under this policy.

This policy prohibits sexual harassment, sexual violence, sexual assault, and intimate partner violence against Grinnell College community members of any gender, gender identity, gender expression, or sexual orientation. This policy also prohibits gender-based harassment that does not involve conduct of a sexual nature.

The College has grievance procedures for any individual who has experienced harassment or discrimination and wishes to pursue resolution.

## **Statement on Religious Observance**

Grinnell College acknowledges and embraces the religious diversity of its faculty, students, and staff. Faculty and students share responsibility to support members of our community who observe religious holidays. Students will provide faculty members with reasonable notice of the dates of religious holidays on which they will be absent, and this notice would be expected to occur no later than the third week of the semester. Faculty members will make reasonable efforts to accommodate students who need to be absent from examinations or class due to religious observance. Students are responsible for completing any part of the course work, including examinations, they have missed due to religious observance, and faculty members are responsible for giving them the opportunity to do so. (October, 9, 2009)

## **PART ONE: THE ACADEMIC ORGANIZATION OF THE COLLEGE**

### **I. THE FACULTY AS A WHOLE**

#### **A. General Faculty Organization**

According to the By-Laws of the Trustees of Grinnell College, the faculty of Grinnell College consists of the President of the College, Vice-President for Academic Affairs and Dean of the College, all members of the teaching staff specifically given that status by contract, and officers of the College given status as members of the faculty by the faculty.

The ranks of the faculty and their order in rank shall be Professor, Associate Professor, Assistant Professor, and Instructor. The title Lecturer may from time to time be used, upon recommendation of the President of the College and of the Executive Council in accord with policies adopted by the Board of Trustees. The title Lecturer is unrelated to the ranks of Professor, Associate Professor, Assistant Professor, Instructor, and any order within these ranks, and carries no implication of eligibility for tenure. The title Lecturer may be used for a person with teaching responsibilities in one of the various instructional laboratories. The title Lecturer may also be used for persons with faculty responsibilities that are part-time in nature, either by virtue of a part-time contract, or a full-time contract with other College responsibilities. The title Senior Lecturer may be used in place of Lecturer for a Regular, part-time faculty member with a multi-year, renewable contract who is appointed in a department and subject to periodic review. The title Applied Music Associate is used for part-time faculty members in the Music Department contracted on an hourly basis to teach music lessons.

Upon retirement, members of the faculty are eligible to receive from the Board of Trustees the status and designation “emeritus” or “emerita” to accompany their title.

#### **B. Regular Faculty Members**

Throughout the Handbook are references to Regular faculty members. For purposes of this Handbook, a Regular faculty member:

1. is a faculty member holding an appointment to fill a position that is intended to be of indefinite duration or who is on Senior Faculty Status;
2. may be tenured, tenure-track, or subject to a multi-year renewable contract;
3. may hold either a full-time or part-time position; and,
4. is a faculty member who is tenured or whose continued service is subject to positive performance reviews on a regularly scheduled basis.

### C. Powers and Duties of the Faculty

The general government and direction of the College are lodged by law in the Board of Trustees. Subject to the reserved power of control by the Board of Trustees and the provision of law, the faculty:

1. Shall cooperate with the President of the College in setting the educational policies of the College, including the requirements for admission, the courses of study, the conditions for graduation, the rules for ascertaining proficiency of students and for the assignment of honors, and the times of general examination.
2. Shall have the power to recommend to the President of the College rules of conduct to be observed by students and penalties for the violation thereof.
3. Shall have the power to recommend to the President of the College and the Board candidates for degrees in course and for honorary degrees.
4. In the exercise of its duties and powers, may appoint standing and special committees, and may elect a Chair of the Faculty from among the Professors.
5. Shall develop, and recommend to the President, policies and procedures for the operation and governance of the faculty and the academic affairs of the College as shall not be in conflict with the By-Laws of the Trustees.

### D. Officers of the Faculty

The term of office for all faculty officers and committees, chairs of the divisions, the departments, and concentrations, and directors of centers and programs shall ordinarily begin on July 1 of each year.

#### 1. Chair of the Faculty

##### a) Qualifications

The Chair of the Faculty shall be elected biennially, in even years, from among the Professors of the faculty; an individual may not serve more than two consecutive terms. For this purpose a part of a term which is an academic year or longer shall count as a full term.

##### b) Duties

The Chair of the Faculty shall

- (1) preside at meetings of the faculty in the absence of the President of the College and the Dean of the College.
- (2) call meetings of the faculty, other than those regularly scheduled, at such times as the Chair may deem wise.

- (3) call a special meeting of the faculty at the written request of twelve voting members.
- (4) make reports or recommendations to the faculty from time to time on such matters of general interest as the Chair may think proper. The Chair of the Faculty may report on those aspects of the general financial and legal status of the College that may come to the Chair's attention and that may serve to encourage harmony and cooperation among Trustees, administration, and faculty.
- (5) prepare an annual report to the faculty, to be delivered to the President and distributed to every faculty member, in which shall be set forth the Chair of the Faculty's opinions as to the state of the College in those areas that are of concern to the faculty.
- (6) serve as an ex-officio member of any standing committee, except the Faculty Organization Committee.
- (7) represent the opinions of the faculty to the Trustees.

## 2. Members-at-Large of the Executive Council

### a) Qualifications

Two Members-at-Large shall be elected for two-year terms, one in even years and one in odd years, from the regular faculty, and may be re-elected once. For this purpose a part of a term which is an academic year or longer shall count as a full term.

### b) Duties

The Members-at-Large shall

- (1) serve as members of the Executive Council.
- (2) serve as non-voting members of any committee on which the Chair of the Faculty may ask a Member-at-Large to represent the Chair of the Faculty.

## E. Eligibility

1. The following are eligible to vote at any regular or special meeting of the faculty and in faculty elections:
  - a) All Regular members of the faculty, whether currently teaching at Grinnell or on leave.

- b) Retired members of the faculty teaching at the College during the academic year.
  - c) Term faculty who hold full-time appointments.
  - d) Officers of the College given faculty status by the Trustee By-Laws; i.e., the President, and the Vice President for Academic Affairs and Dean of the College (Trustee By-Laws, Article X, 1).
  - e) All other persons who have been given voting status by faculty action. The Dean maintains a list of any other individuals given voting status by faculty action.
  - f) Absentee voting. When a vote in faculty meeting has been announced on a published slate of candidates for faculty election or on a question completely put (i.e., in final form and not open to amendment, or not in fact changed by other than minor stylistic amendments) a person who cannot be present but is otherwise eligible to vote may vote in absentia by presenting a signed and sealed ballot. Alternatively, such a person may vote in absentia electronically by including an electronic signature. Such a signature may consist of the full name of the faculty member and date of the submission of the ballot, or may use a verifiable mechanism, such as Open PGP, prior to the meeting to the chair of the meeting or the Chair of the Faculty, or, in the case of faculty elections, to the Chair of the Faculty Organization Committee. In cases of special elections for which eligibility slates have been presented to the faculty, absentee ballots shall be voted as long as the person marked thereon is in active contention.
2. The following are eligible to serve on standing committees:
- a) Regular members of the faculty, including members of the faculty in shared positions, and Regular part-time members of the faculty shall be eligible to serve on Faculty Standing Committees and shall be eligible but not expected to serve on *ad hoc* committees of the faculty.
  - b) Term members of the faculty shall not be eligible to serve on Faculty Standing Committees and shall be eligible but not expected to serve on *ad hoc* committees of the faculty.

## F. Voting Procedures

### 1. Schedule of Elections

Faculty and divisional officers shall be elected in the following order:

- a) The Chair of the Faculty (even years).
- b) The Chair of the Science Division in even years; the Chairs of the Humanities and Social Studies Divisions in odd years.

- c) The Division representatives to the Faculty Personnel Committee from the Science and Social Studies Divisions in odd years; the Division representative of the Humanities Division in even years.
- d) The representatives to the Curriculum Committee from the Science division in even years; the Humanities and Social Studies Divisions in odd years.
- e) A Member-at-Large of the Executive Council (one in even years and one in odd years).
- f) A Member-at-Large of the Faculty Personnel Committee (one in even years and one in odd years).
- g) The Chair of each department.
- h) The Chair-elect of the Faculty Organization Committee.
- i) The Division representatives to the Faculty Organization Committee.
- j) The members of all other faculty committees.
- k) Three members of the Personnel Appeals Board (fall semester).

## 2. Provisions Governing Elections

- a) The Faculty Organization Committee is responsible for designing general campus-wide voting procedures that are then ratified by a majority of the voting faculty.
- b) The Chair of the Faculty shall be elected at the first faculty meeting in February of even calendar years preceding that academic year in which office is assumed. The first and second nominating ballots shall be taken at the first regular faculty meeting in February. Members of the Faculty Organization Committee shall distribute first nominating ballots early in the session and collect and count them at once. The names of those nominees receiving the highest number of votes which total two-thirds of the ballots cast in the primary shall then be announced, after which the faculty shall limit the nominees to the two persons receiving the highest number of votes in a second nominating ballot. A final ballot shall be made available the following day to the entire voting faculty. The deadline for casting ballots shall be 4 PM (Central Time) the Friday of the same week.
  - (i) (The Chair-Elect may attend the meetings of the Executive Council and of the Salary Committee prior to assumption of office, but without privilege of vote.)
- c) The Division chairs and Divisional representatives to the Personnel Committee and the Curriculum Committee shall be elected following the first and before the second faculty meeting in February.

- d) One Member-at-Large of the Executive Council and one Member-at-Large of the Faculty Personnel Committee shall be elected at the second faculty meeting in February. Each year, a new Member-at-Large of each committee shall be selected following the procedures used for Chair of the Faculty, described in paragraph b) above.
- e) The chair of each department shall be elected or appointed following the elections of Member-at-Large of Executive Council and Member-at-Large of Personnel Committee and before spring break.
- f) The Chair-elect and divisional members of the Faculty Organization Committee shall be elected annually immediately following spring break. The Chair-elect shall be selected following the procedures used for Chair of the Faculty, and the Chair-elect shall automatically assume the role of Faculty Organization Committee Chair following one year of service as Chair-elect. Two nominees for Chair-elect shall be identified through the same nomination process as for Chair of the Faculty. The Chair-elect shall be selected from these two members by a final ballot made available to the entire voting faculty the following day. The deadline for casting ballots shall be 4 PM (Central Time) on the Friday of the same week. Divisional representatives to the Faculty Organization Committee shall be elected by their respective divisions before the subsequent faculty meeting.
- g) In the event of a tie in the nominating ballots which requires more than the prescribed number of nominees for any office, the Faculty Organization Committee shall increase accordingly the number of nominees whose names are presented to the faculty.
- h) All other faculty committees shall be elected annually at a regular meeting of the faculty in May. The Faculty Organization Committee shall present one nomination for each position; nominations may also be made from the floor by the faculty.
- i) In those years when the College Marshal (three-year term) is to be elected, the Faculty Organization Committee shall present its nominations for this office at the time of general committee elections.
- j) It is recommended to the Faculty Organization Committee that a faculty member should usually continue service on a committee for a period of two years and that appointment of new members should be staggered.
- k) The Faculty Organization Committee shall conduct the election of members of the Personnel Appeals Board at the first regular meeting of the faculty at the start of the academic year. Three members of the six-member board shall be elected each year, for two-year terms. To be eligible, a faculty member must be tenured or at the rank of Associate Professor or Professor with at least four years of service to

the College and may not serve simultaneously on the Faculty Personnel Committee and the Personnel Appeals Board.

The Faculty Organization Committee shall call for a ballot from every voting member of the faculty, nominating three candidates for the board. The names of those nominees receiving the highest number of votes which total at least two-thirds of the ballots cast in the primary shall then be announced. A final ballot shall be made available on the following day to the entire voting faculty. The deadline for casting ballots shall be 4 PM (Central Time) on the Friday of that same week. Members of the Personnel Appeals Board begin their terms immediately upon election.

## II. THE DIVISIONS

Initiative in the creation or organization of new departments or divisions, or the reorganization, consolidation, division, or abolition of departments or divisions, is vested in the President of the College or may be exercised through recommendations of the faculty to the President of the College. Proposed action thereon shall be submitted to the faculty for an expression of opinion, either by the Executive Council or by the Faculty Organization Committee. Recommendations to the Board of Trustees shall be made by the President of the College accompanied by a written record of the opinion of the faculty or faculty committee. Final authority to make such changes shall rest in the Board.

A. Academic Departments are grouped in the following three Divisions:

1. Humanities: Art, Art History, Chinese and Japanese, Classics, English, French and Arabic, German Studies, Music, Philosophy, Religious Studies, Russian, Spanish, and Theatre, Dance, and Performance Studies. Members of the faculty serving on the staff of the Alternative Language Study Option (ALSO) are also members of this Division.
2. Science: Biology, Chemistry, Computer Science, Mathematics, Physics, Psychology, and Statistics. Members of the faculty serving on the staffs of the Library and the Mathematics Laboratory and Science Learning Center are also members of this Division.
3. Social Studies: African Diaspora Studies, Anthropology, Economics, History, Education, Physical Education, Political Science, and Sociology. Members of the faculty serving on the staffs of the Writing, Reading, and Speaking Center are also members of this division.
4. The divisions supervise departmental curricula and general education requirements related to the division, and make recommendations to the Curriculum Committee on curricular proposals and to the Faculty Personnel Committee on faculty personnel matters involving promotions and tenure.



## B. Divisional Chair

### 1. Election

Each division shall elect biennially a chair, who by that office is also a member of the Executive Council. These chairs may serve no more than two consecutive terms, and for this purpose a part of a term which is an academic year or longer shall count as a full term.

### 2. Duties

The Divisional Chair shall

- a) represent the division as a member of the Executive Council.
- b) represent the division as a member of the Faculty Salary Committee.
- c) convene the voting members of the division as necessary to discuss curricular and other issues requiring discussion or action by the division as a whole.

## C. Faculty Personnel Committee Representatives

### 1. Election

Each division shall elect biennially a representative to the Faculty Personnel Committee. These representatives may serve no more than two consecutive terms, and for this purpose a part of a term which is an academic year or longer shall count as a full term.

### 2. Duties

The Faculty Personnel Committee Representative represents the division as a member of the Committee.

## D. Curriculum Committee Representatives

### 1. Elections

Each division shall elect biennially a representative to the Curriculum Committee.

### 2. Duties

The Curriculum Committee Representative represents the division as a member of the Committee.

## E. Faculty Organization Committee Representatives

### 1. Election

Each division shall elect annually a representative to the Faculty Organization Committee.

## 2. Duties

Serve as a full member of the Faculty Organization Committee and help plan, organize, and run division elections.

## F. Eligibility in the Divisions

### 1. Eligibility to Vote

All persons eligible to vote at any regular or special meeting of the faculty and in faculty elections are eligible to vote in the division. See Part One, section I.E.

A member of the faculty appointed in more than one department or other subdivision of the faculty shall be eligible to vote in only one division and shall, if necessary make a choice as to where to vote. The Chair of the Faculty shall be informed of such decision.

### 2. Eligibility for Office

A divisional chair at the time of assuming office must be a professor or associate professor and must have completed at least three (3) years as a regular full-time faculty member at the College.

## G. Voting Procedures

1. All voting for chair of the division and for the representatives to the Faculty Personnel Committee, Curriculum Committee, and Faculty Organization Committee shall be by written ballot. The Division Representative to the Faculty Organization Committee shall bring ballots to the meeting, conduct elections at the meeting, tally votes, and report results at the meeting. The Division Representative to the Faculty Organization Committee shall also report results to the chair of the Faculty Organization Committee and to the Office of the Dean
2. Two weeks in advance of the meeting, the Office of the Dean will distribute to the Division Chairs and the Faculty Organization Committee lists of faculty in each division eligible for the position of chair and the representatives to the Faculty Personnel Committee, Curriculum Committee, and Faculty Organization Committee.
3. The Division Chair shall notify the faculty of the election meeting at least three days before the election. That notification will include the list of eligible faculty.
4. A majority of those voting is necessary to elect.

5. Eligible members may vote by absentee ballot. Absentee ballots shall be voted by the chair as long as the person marked thereon is in active contention.
6. In the event no candidate attains a majority on the first ballot, an immediate subsequent balloting shall be held between the two persons receiving the highest number of votes on the first ballot.
7. In case of a tie vote between two candidates, the division may immediately hold additional ballots up to four. If a tie persists after four more ballots, the Chair of the Faculty shall cast the deciding ballot, except in the case of the Chair's own division, in which case the Dean of the College shall cast the deciding ballot.

#### H. Divisional Personnel Committee

In each of the three divisions, the Divisional Personnel Committee will consist of a representative elected from among its full-time, tenured faculty by each of the departments constituting the division. Members are elected annually. (For voting procedure see below, III. C. and D.) If no member of the department is eligible, the department may be represented by one of its full-time non-tenured members. The Divisional representative to the Faculty Personnel Committee shall serve as Chair of the Divisional Personnel Committee. The department of which the chair is a member will be represented on the Divisional Personnel Committee by the chair and will elect no other representative to the committee.

### III. THE DEPARTMENTS

#### A. Structure

Grinnell College currently has twenty-eight departments, of which twenty-four offer a major field of study. (Inter-departmental majors in General Science, Biological Chemistry, and Gender, Women's and Sexuality Studies, as well as an Independent Major, are also offered.) Each department belongs to one of the three divisions within the College. The departments determine staff assignments within the departments and schedule class meetings. Their recommendations on the appointment of new faculty and on reappointment and tenure are made through the Dean of the College to the Executive Council.

#### B. Chair

##### 1. Qualifications

Department chairs ordinarily should be elected or appointed from among the Regular faculty of the department who hold the rank of associate professor or professor and who have not acquired Senior Faculty Status. In some instances it may be necessary for a person below the rank of associate professor to serve as department chair. If such is the case, the chair should expect full assistance and cooperation from the Dean of the College in fulfilling the duties of the chair. Such a chair should consult closely with the Dean of the College and the division chair with regard to the duties outlined below.

##### 2. Duties: Personnel

The Chair of the Department shall

- a) in consultation with the Dean of the College initiate action for faculty members' promotion and tenure.
- b) collect all material to be used in considering contract renewal, promotion, and tenure of department members.
- c) present the department's recommendations for those faculty members who are under consideration for contract renewal, promotion, and tenure.
- d) submit salary review materials to the Chair of the Faculty Salary Committee by the deadline indicated in the salary review guidelines.
- e) hold primary responsibility for conducting the search for new appointees to the department faculty.

With permission of the Dean of the College, the Chair of the Department may also designate other faculty member to take on any of these responsibilities.

### 3. Duties: Faculty Development

The Chair of the Department is expected to play an active role in aiding department faculty members with their teaching and scholarly development. In certain circumstances the chair may need to delegate some of the responsibilities. If such is the case, the Dean and the chair of the division should be apprised of such delegation. Specifically, the Chair (or the Chair's delegate) shall

- a) discuss with new faculty members the College's and the department's expectations in regard to teaching and scholarly performance.
- b) visit the classes of new faculty members and faculty members who are under consideration for personnel decisions. Following such visitation, the chair should discuss the strengths and weaknesses of the faculty member's teaching performance with that faculty member. A chair with faculty rank below that of associate professor should consult with the Dean of the College to arrange for one or two senior members of the division to conduct such visitations.
- c) discuss with each member of the department during the fall semester of each year that faculty member's teaching, scholarship, and service to the College. The object of such discussion should be the general improvement of the faculty member's teaching, scholarship, and service to the College.
- d) become acquainted with and encourage the scholarly interests and contributions of each member of the department. The chair should be prepared to represent these elements of the faculty member's work performance to the Executive Council, the Dean of the College, and the President.

### 4. Duties: Student Involvement in Departmental Matters

The Chair of the Department shall

- a) clarify for the departmental Student Educational Policy Committee its role in relation to the functioning of the department.
- b) meet regularly with the departmental Student Educational Policy Committee to obtain its impressions of the department's programs and the performance of the department's faculty members. Such impressions should be reported, when appropriate, to the faculty member concerned and to the Dean of the College.

### 5. Duties: Curricular Matters

The Chair of the Department shall

- a) organize and prepare the pre-registration schedule of courses for the department.
- b) present course or curriculum changes to the division.

- c) superintend the academic advising of department majors.

The chair should emphasize to departmental colleagues the importance of academic advising of both non-majors and majors and take appropriate steps to acquaint newer faculty members with this obligation.

## 6. Duties: Other

The Chair of the Department shall

- a) submit departmental budget requests upon invitation from the Dean of the College.
- b) submit academic equipment and computer equipment (hardware and software) budget requests upon invitation from the Dean of the College.
- c) submit all departmental requests for supplements to the budget to the Dean of the College.
- d) control the expenditures of funds allocated to the department.
- e) safeguard departmental equipment and supplies.
- f) make certain that the department is adequately represented in all-College registration.
- g) hold regular meetings with the department to discuss issues of importance to the department.
- h) see that the department is represented at faculty meetings.
- i) attend meetings of department chairs called by the Dean of the College or the President.

## C. Eligibility

### 1. Eligibility to Vote for Chair

In departments that elect a chair, Regular faculty shall be eligible to vote for Department Chair.

### 2. Eligibility to Vote for Divisional Personnel Committee

Regular faculty in the department, except for those with Senior Faculty Status and departmental Lecturers in Regular appointments, shall be eligible to vote for departmental representative to the Divisional Personnel Committee.

### 3. Eligibility to Vote on Initial Appointments

Regular faculty in the department except those with Senior Faculty status shall be eligible to vote in matters of departmental appointments.

#### 4. Eligibility to Vote in matters of Reappointment and Promotion

Regular, tenured faculty in the department, except those with Senior Faculty status, shall be eligible to vote in matters of recommending reappointment, promotion and tenure. In the case of the Library and the Department of Physical Education, faculty holding renewable appointments of six years or more, as well as the Librarian of the College and the Director of Athletics and Recreation, shall be eligible to vote in matters recommending reappointment, promotion, and tenure.

### D. Voting Procedures

#### 1. Voting for Chair

- a) Chairs of academic departments of more than three faculty members shall be elected by the faculty members of the department. In departments of fewer than four members, the President shall appoint the chair after consultation with the Dean of the College. In rare and extraordinary circumstances, the President, after careful consultation with the Dean of the College and the Chair of the Faculty, may remove a department chair from office and appoint a temporary chair until a new regularly-elected department chair can take office.
- b) The chair ordinarily should be elected or appointed for one year with the understanding that the chair will be re-elected or re-appointed for two additional one-year terms.
- c) All voting for chair shall be by written ballot.
- d) Ballots shall be prepared by the chair in advance, listing all those eligible for chair.
- e) Written notices of the election meeting shall be delivered to the faculty at least three days before the election.
- f) A majority of those voting is necessary to elect.
- g) Eligible members may vote by absentee ballot. Absentee ballots shall be voted by the chair as long as the person marked thereon is in active contention.
- h) In the event no candidate attains a majority on the first ballot, an immediate subsequent balloting shall be held between the two persons receiving the highest number of votes on the first ballot.
- i) In the event of a tie vote which lasts through two ballots, the Chair of the Division shall cast the deciding ballot unless the tie occurs in the divisional chair's own

department. Then the Chair of the Faculty or the Dean of the College shall, in that order, cast the deciding ballot.

2. Voting for Departmental Representative to the Divisional Personnel Committee

- a) All Regular faculty in the department holding the rank of associate professor or professor at the time of the election, excluding those with Senior Faculty Status, shall be eligible to serve as departmental representative to the Divisional Personnel Committee.
- b) All voting for departmental representative to the Divisional Personnel Committee shall be by written ballot.
- c) Ballots shall be prepared by the chair in advance, listing all those eligible for departmental representative to the Divisional Personnel Committee.
- d) Written notices of the election meeting shall be delivered to the faculty at least three days before the election.
- e) A majority of those voting is necessary to elect.
- f) Eligible members may vote by absentee ballot. Absentee ballots shall be voted by the chair as long as the person marked thereon is in active contention.
- g) In the event no candidate attains a majority on the first ballot, an immediate subsequent balloting shall be held between the two persons receiving the highest number of votes on the first ballot.
- h) In the event of a tie vote which lasts through two ballots, the chair of the division shall cast the deciding ballot unless the tie occurs in the divisional chair's own department. Then the Chair of the Faculty or the Dean of the College shall, in that order, cast the deciding ballot.

3. Voting in matters of Initial Appointments

- a) In matters of appointments, the departmental recommendation to make an offer of appointment shall be approved by written ballot. A positive recommendation requires a favorable ballot from a majority of those voting.
- b) Ballots shall be prepared by the chair in advance.
- c) Eligible members may vote by absentee ballot.
- d) A tally will be submitted to Executive Council along with the recommendation.



#### 4. Voting in matters of Reappointment and Promotion

- a) All voting in matters of reappointment and promotion shall be by written ballot. A positive recommendation requires a favorable ballot from a majority of those voting.
- b) Ballots shall be prepared by the chair in advance. These ballots shall give faculty the option of supporting or opposing a recommendation to reappoint or promote.
- c) Eligible members may vote by absentee ballot.
- d) A confidential tally will be submitted as part of the candidate's dossier.

### IV. FACULTY DUTIES AND RESPONSIBILITIES

#### A. Teaching

The primary responsibility of a faculty member at Grinnell College is to teach. Teaching excellence is given primacy over all other criteria in evaluation for promotion, for tenure status, and for increases in salary.

##### 1. Teaching Schedules

The standard teaching schedule at Grinnell is five semester-long courses per year. There is some variation in this standard, however, particularly in natural science courses with laboratories, and in the fine arts, where applied music (private music lessons), art workshops, and theatre productions are considered as part of the teaching schedule.

##### 2. Policy on Procedural Flexibility

The number of credits a course receives at Grinnell College is not tied to the number of hours per week that the class meets. This arrangement permits variation in frequency and length of class meetings, depending upon the nature of the course and the level of the students in the course, and provisions for reading periods during which times classes may have irregular or no meetings, as well as flexibility in the use of texts and examinations. It does not mean, however, that the faculty member is not accessible to students in the course who may wish consultations on their reading and research projects for the course. A faculty member should report to the Dean of the College any intention to leave the campus for any period which shall exceed two class days during the academic year. The Dean has the right to refuse such leave when in the Dean's opinion, teaching will be unwarrantedly disrupted.

##### 3. Class Attendance

There are no general regulations by the College in regard to class attendance. The individual faculty member determines the policy for class attendance in courses and

shall inform students of that policy. Formal reporting of class attendance is not required.

#### 4. Reporting of Grades

Among the accepted responsibilities and obligations of each member of the faculty is that of reporting to the Registrar, at the appointed times, grades in accordance with the grading system and with the grading regulations which the faculty shall from time to time adopt. Further, faculty members are expected to make timely evaluations of students throughout the year.

Inherent in the responsibility of reporting grades is the further understanding that all such grades reported shall have been determined, in the final analysis, on the basis of the faculty member's own professional evaluation of each individual student's work.

This above indicated responsibility is considered to be part of the contractual relationship between the individual faculty member and the College, and the failure to fulfill this obligation will be considered a breach of contract.

All faculty members are expected to report grades for all students in their classes taking the course for credit by the date specified by the Registrar's Office. It is also the responsibility of the faculty member to report any student who is currently failing the course to the Office of Academic Advising at any time during the course of the semester.

For the grading system currently in use, see the [Student Handbook](#).

#### 5. Course Syllabi

Each faculty member should prepare a short syllabus for each course the faculty member is teaching. Copies should go to the department chair and to the students enrolled in the course.

#### 6. Familiarity with Requirements

Every faculty member should be familiar with the curriculum and graduation requirements for the College. The current catalog should be consulted for information on curricular policies and requirements.

#### 7. Academic Honesty

Honesty is fundamental to the academic enterprise, and it is important that faculty make this expectation clear. Students should be reminded of the need for appropriate documentation in all academic work. Faculty members should take reasonable precautions to ensure that work presented by a student in papers, examinations, and take-home examinations is the student's own or is acceptably documented. If an instructor finds evidence that a student's submitted work may be in violation of the College's honesty standards, that instructor must bring it to the attention of the

Committee on Academic Standing. This process ensures that all cases will be adjudicated by the same body. Academic dishonesty is viewed as a grave offense that will incur a serious penalty. The Committee on Academic Standing is responsible for equitable review as well as for maintaining the standards of intellectual integrity in the College.

## B. Academic Advising

The academic advising of students is considered at Grinnell to be one of the essential components of sound teaching. After their first year at the College, faculty members will be expected to advise students.

With the establishment of the Tutorial, tutors became the advisers of students enrolled in their tutorials. This assignment created the possibility of lasting contact between instructor and student and of better understanding of a given advisee's strengths and weaknesses.

Advising is not limited to assuring that a student is properly enrolled in courses each semester, important as that is. Intellectual curiosity, critical analysis, self-reliance, and trust should be encouraged. Since college is for many students their first real venture into independence, the adviser must foster that spirit while at the same time diplomatically helping the student to avoid unnecessary problems.

In cases where the student has not decided upon a major, especially in the sophomore year, the adviser should discuss various alternatives and suggest colleagues who may be able to give more specific information about given majors. In advising majors, one should ascertain the student's plan for a career and, where appropriate, direct the student for further advice to the Office of Career Development.

Many questions raised by students can be answered from the Student Handbook and the Grinnell College Catalog. The Director of Academic Advising and the Dean of the College provide additional sources of information.

## C. Scholarship

Grinnell College, while holding excellence in teaching to be its primary mission, recognizes the importance of scholarship as a complement to effective teaching, as a source of intellectual vitality for the institution, and as a contribution to the fund of human knowledge. The quality of a faculty member's scholarship is consequently an important criterion in evaluation by colleagues for promotion, the granting of tenure and merit-based salary increases.

The College recognizes the difficulties frequently encountered by the faculty by the limitations of library and scientific resources, the geographic location of the College, and the isolation from other scholars and artists engaged in similar professional studies. In establishing Research-Study Grant funds, the College has recognized some of these difficulties and has expressed its interest in encouraging scholarship. The faculty should

avail themselves of these grants as well as of the sabbatical-leave program to further their scholarly interests.

## **PART TWO: FACULTY MEETINGS AND FACULTY COMMITTEES**

### **I. FACULTY MEETINGS**

The faculty by custom meets in general faculty meeting on the first and third Mondays of those months in which the College is in session. These regularly scheduled faculty meetings may be cancelled by the President or the Dean of the College if there is no business to be brought before the faculty or may be postponed to another time if there are compelling reasons to do so. The President, the Dean of the College, the Chair of the Faculty, or any twelve members of the faculty may ask for a special meeting of the faculty at any time. A book of minutes of the faculty meetings shall be kept and shall be submitted by the President of the College to the Board at its meetings whenever requested.

At the annual meeting of the faculty prior to the opening of classes, the chair of each committee charged with reporting annually to the faculty shall present to the faculty a report of the activities of the committee during the past year. By tradition, these reports are made available to all faculty along with the Chair of the Faculty's report before the first faculty meeting of the year. The Chair may also report at any regular faculty meeting.

### **II. FACULTY STANDING COMMITTEES**

#### **A. The Executive Council**

##### **1. Membership**

President of the College (non-voting, chair), Dean of the College (non-voting), Chair of the Faculty, Chairs of the three divisions of the College, and two Members-at-Large elected by the faculty for two-year terms. The Council shall elect a secretary. (In the President's absence, the Dean of the College, and after the latter, the Chair of the Faculty, shall act as Chair of the Executive Council.)

##### **2. Duties**

The Executive Council shall deal with such administrative and educational matters as the President of the College wishes to put before it and may bring administrative and educational questions to the attention of the President. It shall act as a board of review for such problems as are brought to it by the Dean of the College from the Committee on Academic Standing; it may request that committee to submit a report on any questions under consideration and to make studies of specific problems. The Executive Council may bring matters of educational policy to the attention of the faculty.

More specifically, though not to the exclusion of other duties implied above, the Executive Council shall

- a) have oversight of the curriculum.
- b) advise the President of the College on new appointments to the faculty.
- c) recommend to the faculty candidates for commencement speaker and for honorary degrees (see Appendix IV).
- d) function as a direct means of communication between the faculty and the Board of Trustees when desirable and make recommendations for faculty appointments to the Board standing or *ad hoc* committees.
- e) from time to time receive reports from the President on the design, construction, and site of new buildings and on all major maintenance projects and alterations of the campus and buildings.
- f) provide for a continuing study of educational policies and procedures. (The Executive Council may make specific research assignments for appropriate individuals or groups.)
- g) supervise the general objectives of the College, graduation requirements, and other matters of curriculum, including related testing programs.
- h) provide an Appeals Subcommittee and an Appeals Hearing Board as described under F.2.e. in this section of the Faculty Handbook. The Board of Appeal shall consist of three members of the Executive Council to be appointed by the President of the College.
- i) make recommendations to the President of the College and to the faculty concerning divisional and departmental organization.
- j) exercise general supervision over all courses and workshops outside the regular departmental structure and over all specific courses and programs of academic work.
- k) participate with the President of the College in planning the Commencement program, including arrangements for speakers.
- l) act as a long-range planning committee and report to the faculty and to the President on matters of long-range planning.

## B. The Faculty Personnel Committee

### 1. Membership

The President of the College (non-voting chair), the Dean of the College (non-voting), the Chair of the Faculty, one representative elected from each of the three divisions and two members elected at-large by the faculty. All elected members of the committee must be tenured or at the rank of Associate Professor or Professor with

at least four years of service to the College. Members will be elected for staggered two-year terms and may be re-elected once. For this purpose a part of a term which is an academic year or longer shall count as a full term.

## 2. Duties

The committee shall recommend to the President of the College changes in the rank and tenure of faculty members as specified in the policies and procedures set forth in Part III of the Faculty Handbook.

## C. The Faculty Salary Committee

### 1. Membership

The Chair of the Faculty and the three divisional chairs. The Chair of the Faculty shall serve as chair of the committee.

### 2. Duties

The Faculty Salary Committee shall make recommendations concerning faculty salaries. For current faculty members who are expected to return the following year, salary recommendations are made by the Committee to the President and the Dean of the College. The Committee does not make recommendations on salaries to be paid to new appointees.

### 3. Procedures for Determining Faculty Salaries

The following procedures have been adopted by the Faculty Salary Committee in order to arrive at individual salary recommendations.

- a) These reviews usually take place on a three-year cycle for associate professors, professors, Senior Lecturers, and those assistant professors on renewable six-year contracts. Evaluation is based on teaching, scholarship, and service to the College.
- b) Early in the Fall semester the Dean, in consultation with the Chair of the Faculty, prepares and submits to each department chair the guidelines for salary reviews and the names of department members scheduled for salary review in that year.
- c) The department chairs submit salary review materials to the Chair of the Faculty Salary Committee by the deadline indicated in the salary review guidelines.
- d) Based on the materials submitted, the Faculty Salary Committee calculates a merit score for each faculty member under review. For faculty members who are not reviewed in that year, the most recently assigned merit score is used to calculate a salary recommendation for the coming year.
- e) Faculty members who undergo personnel review for contract renewal or promotion in a given year will have their merit score established by the Faculty

Personnel Committee at the time of making a recommendation on the personnel review. For these faculty members, materials do not need to be submitted by the department to the Faculty Salary Committee for merit consideration.

- f) The chair of the Faculty Salary Committee presents the committee's salary recommendations to the Dean of the College, normally by March 1.
- g) The Dean recommends to the President, who then determines the final salary for each individual faculty member for the coming academic year and so notifies the Chair of the Faculty Salary Committee.
- h) Continuing members of the faculty are individually notified of their salary offers no later than the day of Commencement Exercises, by a letter from the Dean.
- i) The Dean invites each faculty member who has had a salary review, to meet and discuss review results as well as the faculty member's professional goals and plans for the three-year period that will be evaluated in the next review.

#### D. The Curriculum Committee

##### 1. Membership

Dean of the College or a designated representative (chair), three elected members of the faculty (each serving a two-year term), four elected students, the Chair of the Faculty, and the Registrar. The three elected faculty members shall be elected, one from each of the three divisions, Humanities, Science, and Social Studies, at the same time as the election of divisional officers. The four students shall be elected by the Student Curriculum Council and shall consist of its chair and a representative from each of the three divisions, Humanities, Science, and Social Studies.

##### 2. Duties

This committee shall have immediate oversight of the educational program of the College. It shall consider primarily concentrations, majors, departmental curricula, and the organization of general education at the College. More particularly, the committee shall

- a) approve new courses and course revisions recommended by the divisions and authorize the deletion of courses.
- b) approve changes in requirements and sequences within major fields and concentrations, as recommended by the divisions.
- c) maintain a continuing review of the requirements for graduation and make recommendations thereon to the faculty.
- d) consider the adequacy of non-major and general education programs at the College and make recommendations thereon to the faculty.



- e) maintain surveillance over and make recommendations concerning the curricular structure and course offerings of the various departments with regard to such matters as proper uniformity of structure, proper servicing of non-majors, and articulation of the curriculum as a whole.
- f) plan and recommend to the faculty policies to guide the substantive advising of students.
- g) provide for continuing study of the educational effectiveness of the curriculum and to recommend for its improvement.
- h) report its recommendations to the Dean of the College, the Executive Council, or the faculty as appropriate.

#### E. Faculty Organization Committee

##### 1. Membership

A Chair elected by the faculty, the Chair-elect elected by the faculty, and one representative elected from each of the three divisions. Elections shall be held annually for all positions, except the chair, who shall automatically assume office after one year of service as chair-elect. Any regular member of the faculty is eligible for election as member or chair-elect of the committee.

##### 2. Duties

The Committee shall

- a) conduct the elections of the Chair of the Faculty, the Faculty Organization Committee, the Members-at-Large of the Executive Council and of the Faculty Personnel Committee. (If a vacancy occurs in one of these offices or an official leave-of-absence necessitates a temporary replacement, the Committee shall conduct a special election according to a procedure approved by the faculty.)
- b) nominate annually to the faculty the chair and members of all standing committees, except the Executive Council, the Faculty Personnel Committee, and the Faculty Organization Committee, unless the position of chair or membership of a committee is designated by office or by another method of selection. (If a vacancy occurs in any of these committees, the Faculty Organization Committee shall nominate to the faculty a faculty member to fill the vacancy.)
- c) help plan, organize, and run division elections.
- d) nominate to the faculty a professor to serve as College Marshal for a term of three years. (If a vacancy occurs in this office or an official leave-of-absence necessitates a temporary replacement, the Faculty Organization Committee shall

nominate to the faculty a professor to fill the vacancy or to act as a temporary replacement.)

- e) make recommendations to the faculty on matters concerning faculty organization.

#### F. The Committee on Academic Standing

This committee shall be concerned with the application of the academic rules of the College to individual students with respect to probation, dismissal, eligibility for extracurricular activities, allegations of dishonesty in academic work, class attendance, and other related matters. The Dean of the College or the Dean's designated representative shall serve as chair.

##### 1. Membership

Dean of the College or a designated representative (chair), Chair of the Faculty, four elected faculty members, one representative from Student Affairs, and one representative from Academic Advising, Registrar or a designated representative (Secretary), and two students. The Chair will appoint two students in consultation with the Student Government Association. Student members will be eligible to view materials, discuss, and vote on all matters except those described in 2 (c) and 2 (h) below.

##### 2. Duties

The Committee shall

- a) be informed on all matters of academic standing and progress of students and carry on a continuing study of policies and procedures in this area; evaluate such policies and procedures and make reports and recommendations to the faculty or the Executive Council, as necessary.
- b) formulate, in conformity with faculty legislation:
  - (1) The definition of and criteria for academic probation, academic eligibility, and separation for academic deficiency; and,
  - (2) The criteria for classification. The Committee shall have the power of review over evaluation of high school and transfer credits for this purpose; and
  - (3) The rules governing final examinations and make-up examinations. The committee shall approve the schedule of final examinations.
- c) Administer the criteria and rules established in 2 (b)
  - (1) Eligible members shall periodically review the academic records of students whose academic standing or progress is severely compromised, and

- (2) Eligible members shall vote on decisions concerning probation, suspension, or dismissal of such students.
- d) review questions and concerns relating to the calendar and recommend changes in the current calendar formula to the full faculty.
- e) review the Student Handbook insofar as its rules and information pertain to academic matters.
- f) oversee all cases of misconduct in the classroom or of dishonesty in written work or in preparation of assignments. The Committee shall decide these cases and shall impose penalties according to principles approved by the faculty upon recommendation of the Committee.

The Committee will choose three of its elected faculty members to form the (CAS) Subcommittee for Academic Honesty. This subcommittee will investigate the case and will conduct a hearing and make a recommendation to the full Committee on Academic Standing (CAS).

An appeal of the decision of the Committee on Academic Standing involving academic dishonesty may be made in writing to the President's Office, which will convene an Appeal Review Committee to consider whether to grant a hearing. The Appeal Review Committee will be composed of one Executive Council member, one former member of CAS, and one additional faculty member, all appointed by the President. This Committee shall grant a hearing for an appeal only on the condition that 1) relevant new evidence is presented or 2) procedural error in the original deliberation has been established.

If a hearing is granted, an Appeals Hearing Board will completely re-hear the academic honesty case. One member of the Executive Council, one former member of CAS and one additional faculty member, all appointed by the President shall give favorable consideration to previous Committee on Academic Standing and Executive Council experience and shall not draw from the Appeal Review Committee.

The chair of the current CAS Academic Honesty shall serve as a non-voting consultant to the Appeal Review Committee, present only at such meetings as deemed appropriate to consult with the Appeal Review Committee and provide information concerning the original hearing process and evidence as well as represent the Committee on Academic Standing in considering new evidence or reviewing procedure. The chair of the current CAS Subcommittee for Academic Honesty may not be a consultant to the Appeals Hearing Board.

The decision of the Appeals Hearing Board shall supersede any previous decision.

A student may appeal the decision of the Appeals Hearing Board directly to the President. In the event the Appeal Review Committee decides not to grant a

rehearing, the student may appeal the decision of the Committee on Academic Standing directly to the President.

- g) set standards for routine action by, or under the supervision of, the Chair on petitions concerning special examinations, special course load, absence, time of meeting any course requirement, or incomplete grade; to act on such petitions as fall outside the standards set.
- h) act on petitions for readmission from students who are on warning, probation, suspension, or dismissal as the result of action by the Committee. Any petition for readmission must be approved by a majority of eligible members of the full Committee.
- i) act on all petitions involving exceptions to graduation requirements.
- j) act as a board to hear challenges to the contents of a student's educational records, as provided by law.

**NOTE:** Whenever individual cases are to be considered by the whole Committee, the Chair shall make an initial study thereof and shall bring each case with a recommendation of disposition.

#### G. The Admission and Student Financial Aid Committee

This committee shall assist the President of the College and the faculty in the determination of admission, financial aid, and student employment policies. The Dean of the College or their representative shall serve as chair.

##### 1. Membership

The Dean of the College (chair); Chair of the Faculty; three elected faculty members, one from each division, elected for staggered three-year terms; three students selected by the Student Government Association; the Director of Admission (secretary); the Director of Student Financial Aid; and the Dean of Admission and Financial Aid.

##### 2. Duties with Respect to Admission

The Committee shall

- a) make policy recommendations (annually and at other times deemed desirable) to the President of the College and to the faculty on their determinations of the admission policy of the College.
- b) receive regular reports from the Director of Admission on the annual admission process, such reports including data relevant to the basic guidelines set by the admission policy.

- c) receive reports on the number and disposition of any special cases in the area of student admission that have been considered by the Admission Subcommittee (composed of the three elected faculty members and the Dean of Admission and Financial Aid or their designated representative). This subcommittee will make recommendations on any special cases in student admission that have been referred to it by the Dean of Admission and Financial Aid in accordance with the admission policy of the College. In addition, the Admission Subcommittee may review and discuss any applications for admission that its members deem relevant for determining the College's admissions policy.

### 3. Duties with Respect to Student Aid

The Committee shall

- a) make policy recommendations to the President of the College and to the faculty on the determination of the student aid (scholarship, loan, and student employment) policy of the College.
- b) receive regular reports from the Director of Student Financial Aid on the annual process of student aid.

## H. Instructional Support Committee

This committee shall be responsible for encouraging teaching initiatives and ensuring the auxiliary support necessary for the successful completion of pedagogical objectives.

### 1. Membership

Six faculty members (two from each division) elected for staggered two-year terms. The Dean of the College or a designated Associate Dean, the Librarian of the College, the Director of Computer Services, and the Dean of College Services shall be non-voting members. The committee will invite representatives from the bookstore, audio-visual department, the faculty secretaries and other constituencies of the College to attend, when relevant issues are being discussed. Two students appointed by the Student Government Association will be invited to attend meetings, when appropriate. The chair of the committee shall be a faculty member chosen at an organizational meeting to be called in the spring semester after the elections to committees for the next year.

### 2. Duties

The Committee shall

- a) support the development of teaching initiatives through the disbursing of curricular development funds available through the operating budget or, when applicable, special grants.

- b) raise issues of immediate concern and participate in long-range planning regarding the development and maintenance of facilities and services to support teaching, including those provided by the libraries, bookstore, audio-visual center, and computer center.
- c) assist in the development and review of policies regarding the use of computer software and hardware, the Internet, and the libraries.
- d) initiate and participate in reviews of the instructional support facilities and services.

## I. The Physical Education Committee

### 1. Membership

Chair of the Physical Education Department; Director of Athletics (non-voting consultant if not already a member of the committee); two elected faculty members from outside the Department of Physical Education; and two students, selected by the Student Government Association. The Faculty Organization Committee shall nominate, and the faculty shall elect one of the elected faculty members as the College's faculty representative to the Midwest Conference. This person will chair the committee.

### 2. Duties

The Committee shall

- a) represent the College in its athletic relations with the Midwest Conference and the National Collegiate Athletic Association (NCAA).
- b) recommend to the faculty, upon the advice of the Director of Athletics, the schedules of athletic activities.
- c) make recommendations concerning intercollegiate, intramural, and physical education policies and programs, including use of the Physical Education Complex, to the appropriate body.
- d) certify to the proper authorities those students who are eligible for conference participation.
- e) make Honor G awards.

## J. The Public Events Committee

### 1. Membership

A chair elected by and from the faculty; two additional faculty members; three students, including the All Campus Events Programmer and two at-large members

appointed by the Student Government Association; and the Director of the College's Performing Arts Program.

## 2. Duties

The Committee shall

- a) plan, schedule, and contract for a series of major cultural events for the following year, using such funds as are budgeted to the committee.
- b) oversee and sponsor in the current year the series of major cultural events planned by the previous year's committee.

## 3. The chair of the committee also sits on the Calendar Scheduling Committee.

# K. The Teacher Education Committee

## 1. Membership

The Chair of the Department of Education; three faculty members, one from each of the three divisions of the College; and two students who are earning licensure for teaching (to be appointed by the Department of Education). The Registrar of the College is a non-voting member of this committee. The chair of the committee shall be elected from the three elected faculty members at the first organizational meeting of the year called by the Chair of the Department of Education. The Chair of the Teacher Education Committee shall call meetings of the committee although any other member has this power. The Chair of the Department of Education shall normally prepare the agenda for the committee and initiate policy proposals for the consideration of the committee and shall be responsible for administering the Teacher Practitioner Preparation Program. Student members of this committee have the right to vote in all matters coming before the committee except 2 (c.) below, matters of licensure.

## 2. Duties

The Committee shall

- a) recommend to the Executive Council the general policies and programs of study in teacher education and the standards of admission to and continuation of such programs that lead to licensure for teaching in the public schools.
- b) consult with the departments concerned regarding the program of study leading to licensure and to assist the Chair of the Department of Education in administering the standards for continuation in programs of study leading to licensure.
- c) have the final authority to license students upon the recommendation of the Department of Education and the departments concerned and to review special cases brought to it by the Chair of the Department of Education.

## L. Committee for the Support of Faculty Scholarship

### 1. Membership

The Dean of the College (chair); four elected faculty members, including one from each division. Members will be elected for staggered three-year terms.

### 2. Duties

The Committee shall

- a) provide broad oversight of support for faculty scholarship and make recommendations to the College of policy for the support of faculty scholarship.
- b) review applications for internal grants to support scholarship by faculty members and make recommendations about the allocation of support.
- c) review applications for sabbatical leaves, Harris leaves, senior faculty leaves, and other non-sabbatical research leaves being supported by College funds and make recommendations to the appropriate administrators.

## M. Committee on Diversity and Inclusion

### 1. Membership

Chief Diversity Officer (co-chair), Director of Intercultural Affairs or equivalent position (co-chair), the Chair of the Faculty or their designee from Executive Council, the Head of Human Resources, one representative elected from each of the three divisions (two year terms), one representative from Staff Council (two year term), one representative from the Student Government Association (one year term), and diversity professionals on campus. Co-chairs may recommend to the President in consultation with the Faculty Organization Committee the appointment of any additional members who are appropriate for the focus, direction, subject matter, or goals of the committee.

### 2. Duties

The Committee shall:

- a) provide strategic recommendations to the President on how to develop and sustain an inclusive and diverse campus community and to evaluate the effectiveness of the College's practices.
- b) consult and serve as a resource for campus groups in developing, implementing, and assessing their diversity initiatives.
- c) assess campus climate every 3-4 years in consultation with Institutional Research.



- d) recommend policies, practices, and programs designed to improve campus climate for all faculty, staff, students, alumni and guests.
- e) annually review, revise, and facilitate the implementation of the Grinnell College Diversity Plan.

#### N. Parliamentarian

The Parliamentarian advises the faculty on matters of parliamentary procedure in regards to faculty meetings, faculty committees, and faculty governance. The Parliamentarian is allowed and encouraged to participate in debate, make motions, vote, and otherwise contribute to faculty meetings like any other faculty member. It is understood, however, that the office of Parliamentarian will operate best when its duties are carried out in an impartial and unbiased manner. The Parliamentarian should be mindful of this and may request that the alternate act as Parliamentarian on occasion. Ideally this request should come well in advance of a meeting at which the Parliamentarian anticipates the desire to speak or make motions on an issue that could appear to be partial or biased.

##### 1. Membership

Two faculty members elected for three-year terms, one serving as Parliamentarian and one as Alternate Parliamentarian.

##### 2. Duties

The Parliamentarian, or the Alternate Parliamentarian, shall

- a) serve as a resource for individuals planning and setting the agenda for faculty meetings in the interest of organizing a productive and efficient meeting. This may involve reviewing and giving feedback on the tentative agenda in order to anticipate possible procedural problems and suggest how to avoid or minimize them.
- b) be reasonably accessible to the faculty outside of faculty meetings.
- c) act as a resource for the assembly and chair during faculty meetings on matters of parliamentary procedure.
- d) identify important or appropriate opportunities to educate the faculty on parliamentary procedure and, with the help and support of the administration, plan and/or provide training or documentation with this goal in mind. This educational responsibility should include circulating information about parliamentary procedure at the beginning of each academic year.

## **PART THREE: APPOINTMENTS, PROMOTION, AND TENURE**

### **I. THE SIZE AND DISTRIBUTION OF THE FACULTY**

Responsibility for altering the number of positions within the faculty as a whole or within an academic department belongs to the President of the College. In determining whether to alter the size of the faculty or of a department of the faculty, the President shall act upon the advice of the Dean of the College and the Executive Council.

### **II. PROCEDURES FOR NEW FACULTY APPOINTMENTS**

The Executive Council and the department or departments concerned shall be consulted by the President of the College before a recommendation for appointment of a new faculty member is made by the President to the Trustees except for special circumstances described in A and B following:

In the case of an appointment made when the College is not in session, the opinions of such members of the Executive Council and of the appropriate departments as are available shall be obtained by the President of the College before making recommendation to the Trustees. In cases of appointments for one year or less, the President need consult only the department or departments concerned.

In emergencies, the President of the College may submit recommendations for appointments directly to the Trustees without following the procedures above. In such cases the President will give the Trustees in writing full reasons for this emergency action.

On initial appointment to the faculty, Instructors shall be employed usually for not more than two (2) years, Assistant Professors and Associate Professors for not more than three (3) years, and Professors for not more than the applicable probationary period remaining prior to tenure. Lecturers may be appointed for a period of one (1) semester or longer provided that the initial contractual period shall not exceed two (2) years.

The precise terms and conditions of every new appointment and successive appointment prior to continuous tenure shall be stated in writing and be in the possession of both the institution and the faculty member before the appointment is consummated.

### **III. POLICIES AND PROCEDURES FOR APPOINTMENTS, PROMOTIONS, AND GRANTING OF TENURE CONSEQUENT TO THE BY-LAWS OF THE TRUSTEES OF GRINNELL COLLEGE**

#### **A. General Provisions for Appointments, Promotions, and Tenure.**

The ranks of the faculty and their order in rank shall be Professor, Associate Professor, Assistant Professor, and Instructor. The title Lecturer may from time to time be used, upon recommendation of the President of the College and of the Executive Council in accord with

policies adopted by the Board of Trustees. The title Lecturer is unrelated to the ranks of Professor, Associate Professor, Assistant Professor, Instructor, and any order within these ranks, and carries no implication of eligibility for tenure. The title Lecturer may be used for a person with teaching responsibilities in one of the various instructional laboratories. The title Lecturer may also be used for persons with faculty responsibilities that are part-time in nature, either by virtue of a part-time contract, or a full-time contract with other College responsibilities. The title Senior Lecturer may be used in place of Lecturer for a Regular, part-time faculty member with a multi-year, renewable contract who is appointed in a department and subject to periodic review. The title Applied Music Associate is used for part-time faculty members in the Music Department contracted on an hourly basis to teach music lessons.

1. Concerning Instructors:

- a) That initial appointments at this rank be made for persons who have not completed all requirements for the customary terminal degree in their field.
- b) That appointments at this rank be for two years.
- c) That Instructors who have not completed all requirements for their terminal degree by November 1 of their third year in rank not be reappointed.
- d) That Instructors be promoted to the rank of Assistant Professor immediately upon completing all requirements for the terminal degree. The length of time specified in the current appointment as Instructor shall remain unchanged, however.

2. Concerning Assistant Professors:

- a) That initial appointments at this rank be made for persons who have attained the customary terminal degree in the field.
- b) That the initial appointment for regularly appointed (not temporary) Assistant Professors be for two years; the second appointment, normally for two years, and the third, for three years, except that probationary, one-year appointments may be made at any time after the original appointment, should the individual's performance warrant doing so.
- c) That in reckoning the "period of service" for this and higher ranks, not more than two years of full-time service at Grinnell College prior to appointment as Assistant Professor be counted; that normally not more than two years of full-time service at any level at another college or university be counted; but that the Dean of the College in exceptional cases may accept up to four years of full-time service as Assistant Professor elsewhere. That the Dean of the College and the member of the faculty, no later than the time of the first reappointment, sign an agreement which specifies how much time shall be counted as prior service for the member of the faculty. That the Dean of the College and the newly appointed Assistant Professor with prior service may mutually agree to waive any part of the prior service.

- d) That Assistant Professors be considered for promotion and for tenure (see 4. a.) in the sixth year in rank at Grinnell College, or the eighth year in service, whichever comes first. Under normal circumstances, consideration for promotion and for tenure may not be delayed. However, at the request of the individual and the department, and with the assent of the Dean of the College, consideration may be deferred, for no more than two years, to compensate the individual for medical or family circumstances that have impeded professional progress during the probationary period of service.
- e) That Assistant Professors who fail to receive promotion not be reappointed.

### 3. Concerning Associate Professors:

- a) That promotion to Associate Professor confer tenure in all cases except in appointments to the Department of Physical Education and for Librarians holding appointment to the faculty.
- b) That promotion to Associate Professor without tenure be normal practice in the Department of Physical Education and for Librarians holding appointment to the faculty.
- c) That initial appointments at this rank be for three years and neither the initial appointment nor any reappointment shall automatically confer tenure.
- d) For faculty members whose initial appointment is at Associate Professor, a review for tenure should occur no later than the fourth year of service at Grinnell College in all cases except those involving members of the Department of Physical Education and Librarians holding appointment to the faculty.
- e) That Associate Professors may remain in rank indefinitely: that promotion to the rank of Professor not be automatic by virtue of time of service; and that only those persons who have demonstrated continuing excellence in teaching and in scholarly productivity, and have otherwise served the College well be promoted to the rank of Professor.

### 4. Concerning Professors:

- a) That promotion to Professor confers tenure in all cases except in appointments to the Department of Physical Education and for Librarians holding appointment to the faculty.
- b) That promotion to Professor without tenure be normal practice in the Department of Physical Education and for Librarians holding appointment to the faculty.
- c) That initial appointment at this rank, unless the appointment be a visiting or an adjunct one or the holder of an endowed chair who has been appointed with tenure, be for a probationary term of no more than three years, and that tenure

may be conferred upon the Professor at any time before the expiry of that term. That in case tenure is not so conferred, the Professor not be reappointed.

- d) That visiting professorships may be conferred upon persons of professorial qualifications whom the College invites to teach at the College for a limited period of time.
- e) That adjunct professorships may be conferred upon persons of professorial qualifications teaching part-time in regular positions, normally for one-year renewable terms.

5. Concerning Lecturers:

- a) That the title of Lecturer does not confer rank.
- b) That the part-time members of the faculty normally carry the title of Lecturer.
- c) That Lecturers may be appointed for a period of one (1) semester or longer provided that the initial contractual period shall not exceed two (2) years.

6. Concerning Senior Lecturers

- a) That the title of Senior Lecturer may be used for a person who is appointed in a Regular position that normally carries part-time teaching responsibilities.
- b) That the teaching and other regular duties of a Senior Lecturer will be defined, in consultation with the department, by the Dean, and set out in a contract.
- c) That a Senior Lecturer will be subject to periodic review for contract renewal as determined by the Dean in consultation with the department.

7. Concerning Applied Music Associates:

- a) That the title of Applied Music Associate is used for a part-time faculty member in the music department contracted on an hourly basis to teach music lessons.
- b) That the procedures concerning the appointment of an Applied Music Associate are set out in “D. Procedures for Appointments of Applied Music Associates” below.
- c) That Applied Music Associates are normally appointed for a period not exceeding one year.

B. Provisions for Appointments and Promotions in the Department of Physical Education and Grinnell College Libraries

1. Concerning the Department of Physical Education

That long-term renewable appointments be offered to members of the Department of Physical Education, and that the usual pattern be as follows: an initial three-year appointment, followed by a second three-year appointment with a complete review in the second year of that term and subsequent reappointment normally for terms of six years. The criteria for the terminal degree and the criteria and procedures for appointment, reappointment, and promotion are outlined in a document on file with the Director of Athletics, the Chair of the Department, and the Dean of the College.

## 2. Concerning the Grinnell College Libraries

That long-term renewable appointments be offered to Librarians holding appointment to the faculty, and that the usual pattern be as follows: an initial two-year appointment, followed by a second two-year appointment, followed by a three-year appointment with a complete review in the second year of that term and subsequent reappointments normally for terms of six years. The criteria for the terminal degree and the criteria and procedures for appointment, reappointment, and promotion are outlined in the document of July 2, 1996 on file with the Librarian of the College and the Dean of the College.

### C. Procedures for Appointments to full-time term teaching appointments

1. To propose a full-time term position, the chair of the department or program shall provide to the Dean of the College a rationale for the position, including teaching and any other faculty duties associated with the position. Appointments are ordinarily at the Instructor or Assistant Professor rank. Appointments are normally between one and three years. The Dean will make the appointment.
2. Contract renewals are possible after the initial appointment, with each contract normally of not more than two years. The College reserves the right to not renew a term faculty member.
3. Contract renewals are possible in accordance with American Association University Professors' guidelines for a maximum of seven years, at which point the College will determine whether the appointment will conclude or be converted to a tenure track position or a senior lectureship.

### D. Procedures for Appointments to Part-time Positions

1. To propose a part-time position, the chair of the department or program shall provide to the Dean of the College a rationale for the position, including teaching and any other faculty duties associated with the position. The Dean of the College shall advise the chair about appropriate procedures for recommending an appointment to the position. The Dean will make the appointment.
2. The Dean of the College shall inform the Executive Council annually of the number, term, and contractual history of part-time faculty appointments.

3. After a person has fulfilled the terms of a part-time faculty contract for three successive years, and the department seeks to continue that part-time position beyond three years, before the end of the third year the department shall consider making a proposal to regularize that part-time position. Institutional need for the position is an important factor in deciding whether a proposal is brought forward.
4. To propose a Senior Lecturer position, the chair of the department shall, in consultation with the Dean of the College, provide a written rationale for the position, recommend specific advising, service or scholarly expectations, and propose a duration for the initial contract (up to three years) and subsequent renewals.
5. The chair shall consult the Chief Diversity Officer and the Dean of the College about appropriate procedures for recommending an appointment to the position of Senior Lecturer. The Dean shall bring the proposal and the recommendation to the Executive Council for advice, taking into account the broader context of institutional priorities. The President shall consider the Executive Council's advice in making the final determination.
6. A person appointed as a Senior Lecturer will be subject to periodic review, as determined by the Dean of the College, in consultation with the chair of the relevant department. Normally, a Senior Lecturer should undergo a review for contract renewal no less than once every six years.

E. Procedures for Appointments of Applied Music Associates

1. When it is proposed that an Applied Music Associate be appointed, the Chair of the Music Department consults with the Dean of the College to determine appropriate procedures. The Chair of the Music Department coordinates the recruitment and selection of Applied Music Associates, adhering to the procedures, and recommends an appropriate candidate for appointment.
2. A person appointed as an Applied Music Associate may be subject to periodic review, as determined by the Dean of the College, in consultation with the Chair of the Music department.

F. Consideration of Renewal of Regular Faculty Contracts

Complete evaluations of a faculty member's professional performance shall be conducted in conjunction with contract renewal considerations that occur during the person's third or fourth and sixth or seventh years of service at the College. Such complete considerations shall include colleagues' evaluations of the faculty member's teaching, scholarship, and service to the College; student evaluations of the faculty member's teaching performance; evaluations or commentary from any other source that can provide information that is pertinent to the specific case under review. For a more specific description of the complete evaluation see "The Complete Evaluation" below.

For faculty members undergoing the Complete Evaluation, Tenure review, and review for promotion to Professor, the review committee will normally consist of a minimum of

three faculty members who are eligible to vote in the review decision. If the department does not have enough faculty eligible to vote in the review decision, the review committee will include the eligible members of the department of appointment plus one to three additional faculty members eligible to vote in their own department on matters of reappointment and promotion. In these cases, the Dean and Chair of the Faculty will consult with the faculty member and the department or review committee chair to identify faculty from outside the department to serve on the review committee.

When an untenured faculty member's contract renewal is considered in a year in which complete evaluation is not in order, the faculty member shall receive an interim evaluation. Such interim evaluation shall be based on a written recommendation from the appropriate review chair that involves the collection of fewer materials than is the case with the complete evaluation. For a more specific description of the interim evaluation see "The Interim Evaluation" below.

The President, Dean, Review Chair or Faculty Personnel Committee may also request a complete evaluation of a faculty member's performance in any contract consideration prior to the granting of tenure.

**Note:** Concern for the rights of all members of the community requires that discussions of personnel matters be treated with utmost confidentiality. The obligations fall on all of us: those making personnel recommendations have an obligation to keep confidential the privileged information they have, and all others in the community have an obligation to respect that need for confidentiality.

## 1. The Complete Evaluation

The complete evaluation represents the most significant personnel consideration of the faculty member's professional career at the College. In preparing the departmental recommendation and gathering other information for the complete evaluation that occurs in the third or fourth year, the department chair should address the issue of whether the faculty member has demonstrated quality and growth which indicates that the faculty member is likely to be a candidate for tenure. If this conclusion cannot be reached, then the department and the College probably should seriously consider non-renewal of the contract and replacement of the faculty member. Clearly, the complete evaluations of both the third or fourth and sixth or seventh years require a more demanding standard than the one applied to recommendations for interim renewals. In addition to the review chair's statement summarizing the evaluation and drawing a recommendation from it, several supporting documents should be submitted. Other required documents are these:

- (1) A complete and up-to-date curriculum vitae.
- (2) Copies of scholarly papers and reports (whether published or unpublished).
- (3) Letters from other persons who have some knowledge about the professional performance of the faculty member being evaluated.



- (4) A written evaluation of the instructor from a student review team (see a.4 under the “Complete Evaluation” below).

In making complete evaluations and recommendations, review chairs should consult the following sources of information and address their evaluations to the following criteria.

a) Sources of Information:

- (1) Departmental Colleagues. The review chair should consult other department members, particularly senior members of the department, for information about the individual’s effectiveness as a teacher, both of introductory and advanced courses, about the individual’s effectiveness as an academic adviser to students, about the interest the individual has shown in research, about the nature and results of that research, and about the degree to which the members of the department desire to retain the individual as a colleague.
- (2) Other Faculty Colleagues. The review chair should consult faculty members outside the department who would have pertinent information regarding the individual, particularly when the individual has taught courses in other programs, such as the Tutorial and Humanities, has team-taught courses, or has had research projects with other faculty members. The chairs of committees on which the individual has served would be another useful source of information. Such information should be submitted in writing for Personnel Committee consideration.
- (3) Administrative Officials. The review chair should consult with administrative officials who might have information about the individual that would be useful to the evaluation and the chair’s recommendation.
- (4) Students. (Student-led evaluation). A student review team shall submit to the review chair a written evaluation of the instructor being considered for reappointment or promotion, as instructed by the review chair. The team’s evaluation should not only report on their interviews with appropriate students, but also render a thoughtful judgment of the instructor’s contribution as a teacher in their subject at Grinnell College.

For faculty whose teaching is primarily within one or more departments, the Student Educational Policy Committees (SEPCs) of those departments will normally serve as the student review team, and they shall be responsible for interviewing primarily majors. For other cases, see H.2 (“Student Reviews”) below.

- (5) The Individual. The individual should supply the review chair with curriculum vitae, copies of research papers or reports, and any other pertinent information that the individual may wish to offer. It is the responsibility of the individual whose contract is under consideration to arrange to have such materials submitted promptly.

- (6) The Review Chair. The review chair is responsible for seeing that the information submitted to the Dean and the Faculty Personnel Committee is complete. A chair that has questions concerning the information to be included should call the Dean before submitting the materials.

The Dean or the Faculty Personnel Committee may return the departmental report to the review chair for additional information or evaluation. The Faculty Personnel Committee also may seek information on its own initiative.

b) Elements:

The President, Dean of the College and the Faculty Personnel Committee consider the following elements as the most significant in considering reappointment, with excellence of teaching of primary importance.

- (1) Teaching. Excellence of teaching both beginning and advanced students, special strengths and weaknesses as a teacher and as an academic adviser, scope of teaching assignments and course preparation should be evaluated. Some indication should be given of the sources of information that have been used in formulating this evaluation.
- (2) Scholarship. Candidates should show progress toward the scholarly production normally expected of successful candidates for tenure. Evidence of this progress may be publications, exhibitions, performances, lectures, presentations, demonstrable work in progress, or other forms of scholarship appropriate to the candidate's discipline.
- (3) Service to the College. An important element, although less weighty than i. and ii., is a demonstrated commitment to the College. Committee assignments and actual contributions on committees should be noted. Special attention should be given to evidence that shows the candidate's support of the academic life of the College, including educational policies and curricular planning, both within and outside the department, whether or not the faculty member may be an actual participant on a formal committee concerned with these activities.

Finally, the above criteria should be considered in the present and prospective context of the faculty member's overall effectiveness and value to both the department and to a residential college of the liberal arts.

## 2. The Interim Evaluation

The interim contract considerations are appropriately less detailed than complete evaluations.

Support for such interim renewals shall consist of the faculty member's curriculum vitae and the review chair's evaluation and recommendation. In making their

evaluation and recommendation, the review chair shall consult with an appropriate student review team (see a.4 under “the Complete Evaluation”) regarding the teaching performance of the faculty member being considered. In these interim renewals, the chair of the division and the Dean of the College also shall make recommendations to the Faculty Personnel Committee regarding renewal. In the cases of consideration of renewals that must be considered prior to the third or fourth year evaluation, the review chair should ask whether the faculty member being considered has performed sufficiently below expectations that the College should consider not renewing the person’s contract at this time and should, therefore, proceed with a thorough evaluation of the person. Unless such evidence of unsatisfactory performance appears, the Faculty Personnel Committee shall recommend to the President that the faculty member’s contract be renewed at this time. In contract renewal considerations that fall between the third and fourth and sixth and seventh years’ evaluations, the review chair should report any changes from the conclusions of the third or fourth year evaluation that may indicate that the department and the College should consider not renewing the person’s contract at this time.

#### G. Procedures for Promotion and Granting of Tenure

Neither promotion to a higher academic rank nor the granting of tenure happens as a matter of course at Grinnell College. The only exception to this basic policy is in the case of an Instructor who is first employed at the College without having completed the requirements for the Ph.D. degree. Upon the completion of those requirements and the conferring of the degree, the Instructor is normally promoted to the rank of Assistant Professor without going through the normal procedure for promotion. All other promotions are made by the Board of Trustees upon the recommendations of the President of the College, after having received the advice and recommendation of the Faculty Personnel Committee. That commitment affirmatively recommends the conferral of tenure with documentation of the reasons for such conferral.

In granting tenure, the College may consider any faculty member holding a tenure-track appointment at the rank of Assistant Professor or above as being eligible for tenure, but for Associate Professors and Professors, tenure must be considered at the conclusion of a probationary period of service. In rare cases, with the consent of the department and the Executive Council, a faculty member may be appointed with tenure to hold an endowed chair at the rank of Professor. The conferral of tenure requires a recommendation by the Personnel Committee and the President and an affirmative vote by the Board of Trustees.

In cases of shared contracts, each partner is eligible for tenure provided that each meets the qualifications required for granting tenure to a Regular, full-time faculty member. If both partners are granted tenure neither will have claim on a full-time appointment as long as both are in the employ of the College. If one tenured partner leaves the College, the remaining tenured partner will be granted an individual, full-time appointment to the previously shared position. Neither partner may be offered the option of holding tenure for the part-time position that constitutes either portion of the shared contract in the absence of the second partner. If one partner is granted tenure and, after recommendation and consideration, the second is not, the non-tenured member may be retained or

terminated as a member of a shared contract in accord with the College policy on Regular appointees who have not been granted tenure.

The tenuring of partners for part-time employment on a shared contract arrangement constitutes a special tenure situation limited to such contracts and is not applicable to other faculty members who hold individual part-time contracts.

1. “Tenure” refers to an implied contract between the College and a faculty member under which the College agrees to employ the faculty member. Tenure can be terminated by the College only for cause as provided by this Handbook, or because of extraordinary financial emergency.
2. Any faculty member of the rank of Assistant Professor or above may be considered for tenure, except that certain positions may be stipulated by contract as not eligible for tenure.
3. Except in unusual circumstances, tenure is granted to a faculty member only after a probationary period of service. For an Associate Professor or Professor, the maximum probationary period is four (4) years of service as a faculty member at Grinnell College. Upon promotion to the rank of Professor, a faculty member shall have tenure immediately. Tenure may be granted to Associate Professors and Professors prior to the end of the maximum probationary period, but as a general policy tenure shall not be granted before the faculty member has completed two (2) years of full-time service at the College; tenure must be accorded any Associate Professor or Professor who is to remain on the faculty after completing the maximum probationary period. Failure to grant tenure at this point will result in termination of the services of the faculty member at the end of the probationary period or at the end of the contract (whichever is later). If tenure is not to be granted at the end of the maximum probationary period to an Associate Professor or Professor, or if the College reserves freedom not to grant tenure, the Associate Professor or Professor shall receive notice to this effect at least twelve (12) months prior to the end of the probationary period.
4. The conferring of tenure must come as a definite action of the Board of Trustees following procedures similar to those governing appointment.
5. The Faculty Personnel Committee uses the procedures given below in considering faculty members for promotion or for granting of tenure or both.
  - a) The Faculty Personnel Committee receives recommendations on tenure and promotion from the appropriate Divisional Personnel Committee.
  - b) Prior to formulating each recommendation, the Divisional Personnel Committee asks for a recommendation from the appropriate review chair in the form of a written report containing the following information:
    - (1) An analysis of the person being considered on each of the following criteria, with the excellence of teaching of primary importance:

- (a) Teaching. Excellence of teaching both beginning and advanced students, special strengths and weaknesses as a teacher and as an academic adviser, scope of teaching assignments and course preparation should be evaluated. Some indication should be given of the sources of information that have been used in formulating this evaluation.
- (b) Scholarship. A successful candidate for tenure will normally be expected to have demonstrated scholarly ability by producing some professionally reviewed body of scholarship in the form of publication, performance, exhibition, or other final form usual to the discipline. Additionally, scholarly work in progress, unreviewed work, and scholarly production in other forms appropriate to the discipline shall be considered in the comprehensive assessment of the candidate as scholar. In considering scholarly work, the department and division should have the advice of scholars outside the College to judge the quality of the work.
- (c) Service to the College. An important element, although less weighty than Teaching and Scholarship above, is a responsible feeling toward the College and how it is fulfilled. Committee assignments and actual contributions on committees should be noted. Special attention should be given to evidence of support to the academic life of the College, including educational policies and curricular planning, both within and outside of the department, whether or not the faculty member may be an actual participant on a formal committee concerned with these activities. Service expectations for shared positions should be calculated in proportion to the expectations for a full-time Regular faculty position.
- (d) Statement of the desire of colleagues both within and outside of the department to promote or keep the individual on the faculty. This statement should include a general appraisal of the individual's present and prospective qualifications and usefulness as a member of the Grinnell College faculty.

It is particularly important that special thought and care be given in making this appraisal in all cases concerned with the granting of tenure.

- (i) The curriculum vitae with bibliography, prepared by the individual who is being recommended, should be appended.
  - (ii) Evaluation of the person's teaching qualities by students, including a written review by an appropriate student review team (see a.4 under "The Complete Evaluation" above).
- c) The Faculty Personnel Committee also may seek information on its own initiative.
  - d) In case the individual under consideration is currently teaching a course in another department or in an interdisciplinary program or a concentration, the Divisional

Personnel Committee should request a written statement from the chair of that department or program regarding the individual's effectiveness as a teacher in that area.

- e) If the individual under consideration is a chair of the department, the divisional chair will ask a senior colleague who is sufficiently familiar with the person to prepare the written statement in accord with b. i. and b. ii. above.
- f) The personnel committee of the division will also consider any person for promotion who asks for consideration, but who may not have departmental recommendation.
- g) After considering the departmental recommendation, the Divisional Personnel Committee sends a written report to the Faculty Personnel Committee. The written report will be in the same form and will contain an evaluation of the same criteria as requested for the departmental written recommendation. In addition, the divisional recommendation will include the division of the vote within the personnel committee. In the case of a negative recommendation, this report should indicate in some detail the reasons for not recommending the particular individual proposed.
- h) The divisional representative to the Faculty Personnel Committee makes a separate appraisal of the Divisional Personnel Committee's recommendation and attaches this appraisal to the report. The divisional representative to the Faculty Personnel Committee writes both the committee's report and this appraisal, except in cases where the divisional representative to the Faculty Personnel Committee is being recommended. In that case, the Faculty Personnel Committee will appoint one of its own members to write both the divisional recommendation and the appraisal.
- i) The Dean of the College will consult department chairs and the Executive Council on faculty members to be considered for promotion to the rank of Professor. If the President, the Dean of the College, or a majority of the Executive Council wishes to have any person considered for promotion but the person has not been considered by the department or the Divisional Personnel Committee, the President or the Dean of the College will request such consideration, and the reporting procedure will be that outlined above.
- j) A person eligible for tenure consideration must be evaluated by the department and by the divisional personnel committee and a report made to the Faculty Personnel Committee even if the departmental position on the granting of tenure is negative.
- k) Departmental and divisional recommendations plus all other communications regarding the granting of tenure and promotion shall be addressed to the Dean of the College, who will take them to the Faculty Personnel Committee.

- l) The Faculty Personnel Committee then, after careful consideration of the departmental and divisional recommendations, makes recommendations to the President. The President will then make recommendation to the Board of Trustees to award tenure.
- H. Procedures for Contract Renewal and Tenure Review for Faculty Members Who Teach a Substantial Number of Courses Outside their Department of Appointment or Who are Appointed in Two Departments.

These procedures apply to faculty (1) who are appointed to one department but are expected to teach at least four non-departmental courses (including divisional and concentration designated courses) over four consecutive semesters; OR (2) who are appointed in two departments.

#### 1. Selection of Type of Review Committee

The type of review committee is normally selected at the time of appointment of a faculty member who fits either of the two profiles identified above. After consultation with the appropriate parties, the Dean includes the anticipated model of review committee with the offer of a position to the prospective faculty member.

- a) In the case of a faculty member appointed to one department, the Dean chooses either Model 1 or Model 2 below. This review committee substitutes for the department and the chair of this review committee substitutes for the department chair (or designee) in the review process.

##### Model 1

A review committee will be appointed by the Dean of the College after consultation with the faculty member, Chair of the department of appointment, and the Executive Council during the faculty member's first semester of appointment. The review committee will normally consist of 3-5 tenured faculty members. Those members will be chosen from the department of appointment and other areas related to the topics to be taught by the interdisciplinary faculty member. The selection of the committee members should maximize the chances that the committee membership will remain unchanged through the pre-tenure and tenure reviews. If a committee member is not able to serve for a particular review, the Dean will, after consultation, appoint a replacement in parallel to the appointment of the initial committee. The Dean will appoint one member of the committee as chair.

##### Model 2

A review committee will be appointed by the Dean of the College after consultation with the faculty member, Chair of the department of appointment, and the Executive Council during the faculty member's first semester of appointment. The review committee will include the tenured members of the department of appointment plus one or two additional faculty members from other areas related to the topics to be taught by the interdisciplinary faculty member. The selection of the committee members who are not from the department of

appointment should maximize the chances that the committee membership will remain unchanged through the pre-tenure and tenure reviews. If a committee member not in the department of appointment is not able to serve for a particular review, the Dean will, after consultation, appoint a replacement in parallel to the appointment of the initial committee. The Dean will appoint one member of the committee as chair.

- b) In the case of a faculty member appointed to two departments, the Dean may choose either to have reviews conducted in each department separately or to constitute a special review committee. This special review committee will be appointed by the Dean of the College after consultation with the faculty member, Chairs of the departments of appointment, and the Executive Council during the faculty member's first semester of appointment. The special review committee will normally consist of 4-6 tenured faculty members. These members will be chosen from the departments of appointment and, if appropriate, from other disciplines related to the topics taught by the faculty member being reviewed. When possible, the committee should have equal representation from each of the two departments of appointment. The selection of the committee members should maximize the chances that the committee membership will remain unchanged through the pre-tenure and tenure reviews. If a committee member is not able to serve for a particular review, the Dean will, after consultation, appoint a replacement in parallel to the appointment of the initial committee. The Dean will appoint one member of the committee as chair.

## 2. Review at the Divisional Level

Faculty who are appointed to one or two departments in a single division are reviewed by the Personnel Committee of that division.

Faculty who are appointed to two departments in two different divisions, regardless of whether they have a single review committee or two departmental review committees, are reviewed at a joint meeting of the two Personnel Committees of those two divisions.

## 3. Student Reviews

The chair of the review, in consultation with the Dean, shall identify an appropriate student review team to represent the students who have taken significant coursework in the primary subject area(s) of the instructor being considered for reappointment or promotion.

For faculty whose teaching is primarily within one or more departments, the Student Educational Policy Committee (SEPCs) of those departments will normally serve as the student review team, and they shall be responsible for interviewing primarily majors.



## I. Procedures for Promotion to Professor

Associate Professors may remain in rank indefinitely; hence, promotion to the rank of Professor is not automatic by virtue of time of service. Normally, only those persons will be promoted to the rank of Professor who have demonstrated continuing excellence in teaching, have continued to produce professionally reviewed scholarship of high quality in the form of publication, performance, exhibition, or other final form usual to the discipline, and have continued to serve the College well.

### 1. Identification of Candidates for Promotion to Professor

- a) Only under exceptional circumstances will consideration for promotion to Professor take place before the sixth year at the Associate Professor rank.
- b) As part of its salary deliberations, the Faculty Salary Committee will identify potential candidates for promotion on the basis of the criteria identified above. The Dean and appropriate Division Chair will consult with faculty members identified by the Salary committee and with the Chairs of their departments. If these conversations are positive, Executive Council will recommend that the review proceed during the following academic year.
- c) The Dean of the College will consult department chairs and the Executive Council to identify other faculty members to be considered for promotion to the rank of Professor. If the President, the Dean of the College, or a majority of the Executive Council wishes to have any person considered for promotion but the person has not been recommended by the Salary Committee, the President or the Dean of the College will request such consideration, and the reporting procedure will be that outlined below. In addition, the Personnel Committee will consider for promotion to Full Professor, in accordance with established procedures, any eligible person who asks for such consideration.

### 2. The Faculty Personnel Committee uses the procedures given below in considering faculty members for promotion to Professor.

- a) The Faculty Personnel Committee receives recommendations on promotion from the appropriate Divisional Personnel Committee.
- b) Prior to formulating each recommendation, the Divisional Personnel Committee asks for a recommendation from the appropriate department chair or another faculty member designated by the department chair in the form of a written report containing the following information.
  - (1) An analysis of the person being considered on each of the following criteria, with the excellence of teaching of primary importance:
    - (a) Teaching. Excellence of teaching both beginning and advanced students, special strengths and weaknesses as a teacher and as an academic adviser, scope of teaching assignments and course preparation should be evaluated.

Some indication should be given of the sources of information that have been used in formulating this evaluation.

- (b) Scholarship. A successful candidate for promotion to Professor will be expected to have continued to produce professionally reviewed scholarship of high quality in the form of publication, performance, exhibition, or other final form usual to the discipline subsequent to the review for tenure and promotion to Associate Professor. Additionally, scholarly work in progress, unreviewed work, and scholarly production in other forms appropriate to the discipline shall be considered in the comprehensive assessment of the candidate as scholar. In considering scholarly work, the department and division should have the advice of scholars outside the College to judge the quality of the work.
- (c) Service to the College. An important element, although less weighty than Teaching and Scholarship above, is responsible service to the College. Committee assignments and actual contributions on committees should be noted. Special attention should be given to evidence of support to the academic life of the College, including educational policies and curricular planning, both within and outside of the department, whether or not the faculty member may be an actual participant on a formal committee concerned with these activities. Service expectations for shared positions should be calculated in proportion to the expectations for a full-time Regular faculty position.
- (d) Statement of the desire of colleagues within the department to promote.
- (2) The curriculum vitae with bibliography, prepared by the individual who is being recommended, should be appended.
- (3) Evaluation of the person's teaching qualities by students, including a written review by an appropriate student review team (see a.4 under "The Complete Evaluation" above).
- c) The Faculty Personnel Committee also may seek information on its own initiative.
- d) If the individual under consideration teaches in another department or in an interdisciplinary program or a concentration, the Divisional Personnel Committee should request a written statement from the chair of that department or program regarding the individual's effectiveness as a teacher in that area.
- e) If the individual under consideration is a chair of the department, the Division Chair will ask a senior colleague who is sufficiently familiar with the person to prepare the written statement in accord with b. i. and b. ii. above.
- f) After considering the departmental recommendation, the Divisional Personnel Committee sends a written report to the Faculty Personnel Committee. The written report will be in the same form and will contain an evaluation of the same

criteria as requested for the departmental written recommendation. In addition, the divisional recommendation will include the division of the vote within the personnel committee. In the case of a negative recommendation, this report should indicate in some detail the reasons for not recommending the particular individual proposed.

- g) The divisional representative to the Faculty Personnel Committee makes a separate appraisal of the Divisional Personnel Committee's recommendation and attaches this appraisal to the report. The divisional representative to the Faculty Personnel Committee writes both the committee's report and this appraisal, except in cases where the divisional representative to the Faculty Personnel Committee is being recommended. In that case, the Faculty Personnel Committee will appoint one of its own members to write both the divisional recommendation and the appraisal.
- h) Departmental and divisional recommendations plus all other communications regarding the award of promotion shall be addressed to the Dean of the College, who will take them to the Faculty Personnel Committee.
- i) The Faculty Personnel Committee then, after careful consideration of the departmental and divisional recommendations, makes recommendations to the President. The President will then make recommendation to the Board of Trustees to award promotion.

#### **IV. POLICIES AND PROCEDURES REGARDING DECISIONS NOT TO RENEW FACULTY APPOINTMENTS**

All faculty appointed to the College are on contract with the College. For untenured faculty, the usual contract terms are two (2) years for Instructors, two (2) years for Assistant Professors, and three (3) years for Associate Professors or newly appointed Professors. Contracts are typically granted for an academic year which is considered to begin on August 1 and end on July 31. The Faculty Personnel Committee and the President, usually upon departmental recommendation, may decide not to renew an individual faculty member's contract upon its expiration. Prior to the non-renewal of any contract of a faculty member not on tenure, the College shall give adequate notice of intention not to renew or of reservation of freedom not to renew:

**A. Full-time, Regular members of the faculty with contracts of more than one year:**

In the second year of service at the College, nine months' notice prior to the end of the contract (contracts for an academic year are construed to end on July 31), so that notice must be given by November 1 of the year preceding; with service at the College of two (2) years or more, twelve (12) months' notice prior to the end of the contract, so that notice must be given by August 1 of the year preceding.

**B. Full-time Regular members of the faculty with contracts of one year:**

In the first year of service at the College, six months prior to the end of the contract, so that notice must be given by February 1, of the same year; with service at the College of one (1) or more years, nine (9) months' notice prior to the end of the contract, so that notice must be given by November 1 of the year preceding.

**C. For Regular, part-time faculty with contracts of one year, notification of contract renewal or non-renewal shall be by April 1.**

**D. For Regular, part-time faculty with contracts of more than one year, notification of contract renewal shall be at least six months prior to the end of the current contract.**

The reappointment of a Lecturer rests in the discretion of the President of the College, who will inform the Lecturer as soon as practicable that the appointment will or will not be renewed. The President, however, has no obligation to give the Lecturer such information within a stipulated time.

A faculty member intending to resign shall give written notice to the College, preferably by March 1, but no later than April 15, of their final academic year at the College. However, faculty members not in residence by reason of leave of absence or other circumstance shall give such advice not later than March 1.

## V. RECONSIDERATIONS AND APPEALS OF PERSONNEL RECOMMENDATIONS

This procedure covers claims of improper consideration and inadequate consideration in connection with Personnel Committee reappointment, promotion, and tenure recommendations.

“Improper consideration” (which is distinct from “inadequate consideration”) refers to considerations which violate either (i) academic freedom or (ii) Grinnell College’s nondiscrimination policy (see statement at front of *Faculty Handbook*).

Inadequate consideration is a lack of adequate consideration. In defining the expression “adequate consideration,” the Grinnell procedure takes guidance from the AAUP’s *Policy Documents and Reports*:

The term ‘adequate consideration’ refers essentially to procedural rather than substantive issues: Was the decision conscientiously arrived at? Was all available evidence bearing on the relevant performance of the candidate sought out and considered? Was there adequate deliberation by the department over the import of the evidence in the light of the relevant standards? Were irrelevant and improper standards excluded from consideration? Was the decision a *bona fide* exercise of professional academic judgment? These are the kinds of questions suggested by the standard “adequate consideration.”

Notice of non-reappointment at the end of a specified term of probationary appointment is not to be confused with termination for cause (see Faculty Handbook, Section entitled “Dismissals for Cause”). In case of termination for cause, the College can rightly be required to justify its position. In the case of non-reappointment, no such burden of proof exists, and the College is to be “accorded the widest latitude consistent with academic freedom, equal opportunity, and the standards of fairness” in discharging its responsibility “to recruit and retain the best qualified faculty within its goals and means” (AAUP. “Statement on Procedural Standards in the Renewal or Nonrenewal of Faculty Appointments,” *Policy Documents Reports*, 1995 ed., p. 17).

The considerations relevant to reappointment and promotion decisions are those elements set out in the Faculty Handbook. The College expects that faculty reappointment decisions be reached fairly and judiciously. The College recognizes, nonetheless, that despite every effort to reach its appointment decisions fairly and judiciously, cases of improper consideration or inadequate consideration may conceivably occur. In cases of claims of improper or inadequate consideration, therefore, it has established the following special review procedures.

### A. Request for Reconsideration

A Personnel Committee recommendation not to reappoint or not to promote is normally communicated orally to the faculty member by the Dean of the College or the chair of the faculty member’s department. That notification should be confirmed in writing by the Dean within two weeks of the recommendation being made; the Dean will also lay out the options of reconsideration and/or appeal. Upon receipt of the written notification, the

faculty member may ask the Dean to discuss informally the reasons which contributed to the recommendation. The faculty member may also, after this discussion, request a written statement of these reasons. However, before a written statement is provided, the Dean shall advise the faculty member of the possible adverse consequences of being given such a statement (*Ibid.*, pp. 17-18). Once requested, the statement should be issued within two weeks.

Following discussion with the Dean, should the faculty member believe that the Personnel Committee recommendation not to reappoint or not to promote involved improper or inadequate consideration, the faculty member may ask the Dean to have the Personnel Committee reconvened, for purposes of reconsideration. Based on the College's published criteria and the evidence in the reappointment or promotion dossier, the Personnel Committee will assess allegations of improper or inadequate consideration referred to it.

A request for reconsideration must be made in writing to the Dean no later than one month following the Dean's written notification of non-reappointment or non-promotion. The request must specify in detail the factors the faculty member believes warrant such reconsideration. If the Dean, in consultation with the Personnel Committee, determines that there is sufficient evidence of improper or inadequate consideration which could have affected the recommendation, the Dean shall grant reconsideration. The decision whether to grant reconsideration must be communicated in writing to the faculty member within two weeks of the receipt of the request.

If reconsideration is granted, it must be concluded and the results and reasons therefore communicated in writing to the faculty member by the Dean within one month of the Dean's decision to grant reconsideration. Should the Personnel Committee fail to complete its reconsideration, the Dean may terminate the reconsideration or extend the period by no more than a month for good cause shown.

If reconsideration is not granted by the Dean or if reconsideration results in a determination that the Personnel Committee recommendation was not the result of improper or inadequate consideration, the faculty member must petition in writing to the Chair of the Personnel Appeals Board to initiate a review of the non-reappointment or non-promotion recommendation pursuant to the appeal procedure that follows or lose the right to appeal. The faculty member shall submit this petition no later than one month after being so informed by the Dean of the disposition of the reconsideration request.

## B. Appeal to the Personnel Appeals Board

### 1. Grounds for Appeal

Should a faculty member believe that improper consideration contributed to the Personnel Committee recommendation not to reappoint or not to promote, or that the recommendation was based on inadequate consideration, the faculty member may appeal the Personnel Committee recommendation directly to the Personnel Appeals Board no later than two months following the Dean's written notification of a recommendation of non-reappointment or non-promotion.

Alternatively, if reconsideration of a Personnel Committee recommendation is not granted by the Dean or if reconsideration results in a determination that the Personnel Committee recommendation was not the result of improper or inadequate consideration, the faculty member may nevertheless appeal the underlying Personnel Committee recommendation to the Personnel Appeals Board based on inadequate or improper consideration. The appeal petition must be submitted no later than one month after being so informed by the Dean of the disposition of the reconsideration request or the faculty member loses the right to appeal.

## 2. Membership and Organization of the Personnel Appeals Board

The Personnel Appeals Board serves as the body to which individuals may appeal when reappointment, promotion, or tenure appears unlikely in light of the Faculty Personnel Committee's recommendation. An appeal shall be based on detailed and substantiated allegations of inadequate consideration or improper consideration.

The Personnel Appeals Board shall be composed of six faculty members who are tenured or at the rank of Associate Professor or Professor with four year of service to the College, elected at large by the voting faculty and serving for two-year terms, beginning immediately after election in any year. No member of the Personnel Appeals Board shall participate in reviewing the appeal of a recommendation made by the Personnel Committee while he/she was a member of the Personnel Committee.

The faculty member on the Board who is most senior in service to the College shall be the chair. Where two or more faculty members are equal in seniority, the position of chair shall be filled by drawing lots. If, for any reason, such person is not able to serve as chair then the next most senior member who is able to serve shall serve until the most senior member is again able to serve.

When an appeal is made, the Personnel Appeals Board shall meet promptly to choose by lot three members to consider the case. A member of the Personnel Appeals Board shall abstain from sitting on a particular appeal in any case of a conflict of interest. The names of the three members chosen by lot shall be made available by the Board to the individual making the appeal within twenty-four hours of selection. Within twenty-four hours of such notification, the individual making the appeal may submit to the chair of the Personnel Appeals Board a statement asserting that a member has a possible conflict of interest. Such statement shall describe the alleged conflict. The chair of the Personnel Appeals Board shall determine whether the alleged conflict disqualifies a member. In the case where sufficient members of the Personnel Appeals Board are deemed ineligible due to conflict(s), the Faculty Organization Committee shall name sufficient ad hoc members to the Personnel Appeals Board who are tenured. The Faculty Organization Committee shall seek disinterested faculty members.

The sole responsibility of the Personnel Appeals Board is to investigate the charge that improper and/or inadequate consideration was involved in the process by which the original recommendation was reached. In pursuing its investigation, the Board

will not substitute its own judgment on the substantive merits of the case for the judgment of those who made the original recommendation. The members of the Board must treat their deliberations, the materials consulted in the case, and all facts learned in the course of the case as confidential. The chair of the Personnel Appeals Board will notify the President, the Dean, and the department chair in a timely manner of the initiation and disposition of any case within its purview.

### 3. Appeal Procedures

A faculty member may petition in writing to the Chair of the Personnel Appeals Board to initiate a review of the non-reappointment or non-promotion recommendation. The petition must specify in detail the respect(s) in which the individual making the appeal believes consideration to have been inadequate or improper.

While it is the right of anyone involved in the process to consult an attorney independently and/or to have an attorney assist in preparations for the process, the academic and non-judicial setting of this process dictates that attorneys generally will not be present at any meeting or hearing which may occur. Because attorneys for the College will, or may, advise the President, the Dean of the College, the Personnel Committee, or the Personnel Appeals Board, these attorneys will not be available to advise the individual making the appeal

#### a) Prima Facie Review

The Personnel Appeals Board will initiate a formal review if and only if it concludes that the individual making the appeal has established a *prima facie* case as to the truth of the allegations of inadequate or improper consideration. In every case, the Personnel Appeals Board will refer only to the petition to determine whether a *prima facie* case has been made. A *prima facie* case has two parts: (a) allegations which, if true, would warrant or require remedial action or relief; and (b) credible support for the allegations.

Should the Personnel Appeals Board conclude that the faculty member's petition has not established a *prima facie* case, it will report its findings in writing to the President, to the Dean, to the department chair, and to the individual making the appeal. That will end the Personnel Appeals Board's consideration of the appeal. Should the Personnel Appeals Board conclude that the faculty member's petition makes out a *prima facie* case, it will proceed with a formal review.

#### b) Formal Review

If it is determined that a *prima facie* case exists, the Personnel Appeals Board will proceed with an investigation, informally and in private, resolving by a majority vote if necessary any issues relating to procedural matters or to its ultimate findings. The burden of proof that improper or inadequate consideration occurred rests with the faculty member. Faculty members who submit an appeal shall have the right to appear in person before the Personnel Appeals Board at an agreed-



upon time during the hearing and to present witnesses and documentary evidence in support of the appeal.

As noted above, the Personnel Appeals Board will not substitute its own judgment on the substantive merits of the case for the judgment of those who made the original recommendation. Nor will it concern itself with the possibility that others might have arrived at a different judgment. Its responsibility is only to investigate the charge that improper and/or inadequate consideration was involved in the process by which the original recommendation was reached.

c) The Report

Should the Personnel Appeals Board conclude that the Personnel Committee recommendation in the case was not the result of improper or inadequate consideration, it will report its findings in writing to the President, the Dean, the department chair, and the individual making the appeal no later than two months after the receipt of the petition.

Should the Personnel Appeals Board conclude that more likely than not the Personnel Committee recommendation in the case was the result of improper or inadequate consideration, it will indicate the respects in which it believes the consideration to have been inadequate or improper and make the appropriate recommendations in writing to the President, the Dean, the department chair, and the petitioner no later than two months after the receipt of the petition. The President shall, in consultation with the Dean and the department chair, act upon the recommendation as he/she sees fit.

d) Complaint Against the President

If the petition alleges improper conduct by the President, the report shall go directly to the Board of Trustees to act upon the recommendation as it sees fit, otherwise, the decision of the President shall be final.

e) Timing

All of the deadlines established above for reconsideration and appeal are intended to be completed within the academic year. Depending on the availability and willingness of the Personnel Appeals Board members to serve during the months of June, July, and August, the Chair of the Personnel Appeals Board will determine whether the committee can be convened during the summer.

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The procedures contain all the provisions for appeal within the College. Upon the completion of these procedures, no further appeal may be initiated within the College.

## VI. SENIOR FACULTY STATUS

Senior members of the faculty may be released from their full-time teaching, scholarship and service obligations to pursue a selection of these activities on a half-time basis. Prior to acquiring Senior Faculty Status (SFS), a faculty member enters into a written agreement with the College that provides an appointment for a fixed term of service (the SFS term) with specified duties and responsibilities. During this SFS term, the faculty member may not return to full-time teaching; at the end of the SFS term, the faculty member must assume emeritus/emerita status as a retired member of the faculty.

### A. Eligibility and Duration

Tenured faculty members, including those in shared positions, and faculty members with full-time appointments in academic departments or the library may apply for Senior Faculty Status to begin no earlier than the academic year (August 1 through July 31) in which they reach age 61. At the time of transition to SFS, they must have completed 15 academic years of full-time service at the College. Faculty hired with an initial appointment at rank of Associate Professor must have completed 12 academic years of full-time service at the College. Faculty hired with an initial appointment at rank of Professor must have completed 9 academic years of full-time service at the College. The initial SFS term may not be less than one year nor more than four years. Faculty may apply for a fifth year if needed to finish an SFS project. Any of the member faculty with SFS may elect to retire prior to the end of the SFS term by giving the Dean of the College at least 30 days notice, or a semester's notice if the SFS agreement involves teaching.

### B. Application Procedure

To apply for SFS, eligible faculty members must present written plans for professional activities to the Dean of the College sufficiently early to allow the College time to respond to departmental requests for replacements for those granted SFS. Normally, the applicant should submit the proposed plan at least 18 months prior to the beginning of the academic year when SFS would begin. Each plan must contain suggested duties and obligations, equivalent to a half-time faculty appointment, that the faculty member will assume while holding SFS. Possible duties and obligations may include such activities as part-time teaching, scholarly research, professional activities, on-campus consulting, or administrative work. Professional activities might include serving as academic adviser to students, assisting with curriculum and course development, serving as advisor to student activity groups, delivering lectures, leading student study tours or alumni travel groups, and coordinating or providing support for workshops for faculty or administrative staff. Administrative duties might include directing or assisting with projects associated with any academic or administrative activity at the College, including standing or other committees of the faculty or committees of the College. The proposed plan should also indicate the suggested duration of the SFS term, consistent with the proposed projects and duties. The Dean of the College may accept the proposed activities plan or may work with the faculty member to develop an acceptable plan. In this process, the Dean will solicit the advice of the SFS Committee.

By July 1 of each year, every member of the faculty holding SFS will submit an annual activities report to the Dean of the College. This report may propose changes to the participant's activity plan. The SFS Committee will review the annual reports and following that review the Dean and the participant may mutually agree to revise the plan. Faculty applying for a fifth year must do so no later than the semester prior to the end of their SFS term by written request to the Dean. The Dean will solicit the advice of the SFS committee before granting the extension.

At any time, the Dean and the faculty member holding SFS may mutually agree to revise the duties and responsibilities set forth in the faculty member's activities plan.

#### C. Salary

The SFS agreement will set forth the compensation for a faculty member holding SFS. The compensation for the first year on SFS will be at a rate equal to 55% of the faculty member's full-time compensation for that year if SFS had not been elected. The base salary for the first SFS term will be determined by the standard faculty salary process, and the salary increase for subsequent years will be established by a formula of CPI for the previous year plus 0.75%.

#### D. Benefits

Faculty members with SFS, by working at least one-half time, remain eligible for benefits such as the health plan, College contribution to TIAA-CREF and the group disability plan for active employees.

#### E. SFS Committee

The SFS Committee will have five members: the Dean of the College (Chair); three members selected from the full-time faculty with the rank of Professor; and one faculty member on SFS. There will be at least one faculty member from each of the three divisions. Faculty members are nominated by the FOC and elected by the faculty.

#### F. Re-Evaluation

The College reserves the right to re-evaluate its position at any time concerning the offering of SFS and may adjust terms of the status or withdraw from offering it as the College deems necessary. If such adjustment or withdrawal should occur, those faculty members who have been granted the status will be continued under the plan as specified in their SFS appointment agreement with the College.

## **PART FOUR: DISMISSALS FOR CAUSE**

- I.** A faculty member may be dismissed for cause, while they are on tenure or prior to the end of a contract term, but such dismissal shall be carried out only after prescribed procedures involving: (1) an advisory committee consisting of the Chair of the Faculty and the two (2) senior professors of the faculty (not currently members of the Executive Council); (2) a hearing committee consisting of five (5) members of the Executive Council, at least four (4) of whom must be tenured, such committee to be chosen by the Chair of the Faculty; (3) the President of the College; and (4) the Board of Trustees. The two senior professors on the advisory committee shall be selected on the basis of term of service in the rank of full professor and, if necessary, in alphabetical order. The Chair of the Faculty shall be chair of the advisory committee. The members of the advisory committee and of the hearing committee who are in office when a case begins shall continue until the case is closed. (The hearing committee shall elect its chair from among its members.)
- II.** When reason arises to question the fitness of a faculty member who has tenure or whose term appointment has not expired, the President of the College shall discuss the matter with the faculty member in personal conference. The President shall have the Dean of the College present as an observer at this conference. The matter may be terminated by mutual consent at this point; but if an agreement does not result, the advisory committee shall be charged with the function of rendering confidential advice to the President. It shall informally inquire into the situation, effect an adjustment if possible and, if none is effected, determine whether in its view formal proceedings to consider dismissal should be instituted. If the advisory committee recommends that such proceedings should be instituted, or if the President, even after considering a recommendation of the committee favorable to the faculty member, expresses the conviction that a proceeding should be undertaken, action shall be commenced under the procedures which follow. Except where there is disagreement, a statement with reasonable particularity of the grounds proposed for the dismissal shall then be formulated by the President in consultation with the advisory committee; if there is disagreement, the President or the President's representative shall independently formulate the statement.
- III.** The formal proceedings shall be commenced by a letter addressed to the faculty member by the President communicating to the faculty member the statement formulated, and informing the faculty member that, if the faculty member so requests, a hearing to determine whether the faculty member should be removed from the faculty on the grounds stated will be conducted by the hearing committee. The faculty member shall be informed, in detail or by reference to published regulations, of the procedural rights that will be accorded to the faculty member. The faculty member shall reply in writing within one week after delivery of the President's letter, stating whether a hearing is requested. If a hearing is requested, the faculty member shall also provide a written response to the charge. A failure to respond to the President's letter within the one-week period shall be deemed a waiver of the right to a hearing.
- IV.** The President may suspend the faculty member with pay pending completion of the proceedings if the President believes that immediate harm to the faculty member or to others is threatened by the faculty member's continuance.

- V. The hearing committee shall proceed by considering the statement of grounds for dismissal, as described in (III) above, and the faculty member's response written before the time of the hearing. If the faculty member has not requested a hearing, the hearing committee shall consider the case on the basis of the obtainable information and decide whether the faculty member shall be removed or some other sanction is warranted. If a hearing is requested, the hearing shall be private, and in the course of it neither the President nor the faculty member may be represented by an attorney. If any facts are in dispute, the testimony of witnesses and other evidence concerning the matter set forth in the President's letter to the faculty member shall be received.

The faculty hearing committee shall conduct the hearing. This responsibility includes attempting to secure evidence relevant to the case and determining the order of procedure. The President and the faculty member shall provide to the committee a list of witnesses each desires to have heard together with a brief statement of the type of evidence the witness is thought to have. The committee will determine the witnesses that will be called, and the order of presentation. The committee shall initially question each witness.

The President shall have the option of attending the hearing. The President may designate a representative from the College to attend the hearing and assist in developing the case. The faculty member also shall have the option of receiving assistance from a member of the College whose functions shall be similar to those of the representative chosen by the President. As a general matter the faculty member shall have the opportunity to confront all adverse witnesses. Where unusual and urgent reasons move the hearing committee to withhold this right, or where the witness cannot appear, the identity of the witness, as well as the witness's statements, shall be disclosed to the faculty member. Subject to these safeguards, statements may when necessary be taken outside the hearing and reported to it.

The hearing shall be tape recorded, and copies of the tape recordings shall be made available to both parties at the conclusion of the hearing. The hearing committee will not provide a transcript.

- VI. The hearing committee shall reach its decision in conference, on the basis of the hearing. Before doing so, it shall give opportunity to the faculty member and the President, or to the representatives of each, to argue orally before it. The hearing committee may request that such arguments be submitted in written form if it believes that this procedure would be helpful. The committee may proceed to decision promptly. It shall make explicit findings with respect to each of the grounds of removal presented, and a reasoned opinion may be desirable. The committee may recommend a sanction less than dismissal if it determines that such punishment, but not dismissal, is warranted. Publicity concerning the committee's decision may properly be withheld until consideration has been given the case by the Board of Trustees. The President and the faculty member shall be notified of the decision in writing. Any release to the public shall be made through the President's Office.
- VII. The President shall transmit to the Board of Trustees the full report of the hearing committee, stating its action. The Board of Trustees may choose to review the case, or the faculty member may appeal to the Board for review. In either event, the review shall be

based on the record of the previous hearing, accompanied by opportunity for written argument by the principals at the hearing or their representatives. The decision of the hearing committee shall either be sustained or the proceedings be returned to the committee with the objections specified. In such a case, the committee shall reconsider, taking account of the stated objections and receiving new evidence if necessary. It shall frame its decision and communicate it in the same manner as before. Only after study of the committee's reconsideration may the Board of Trustees make a final decision overruling the committee.

- VIII.** Except for such simple announcements as may be required, public statements about the case by either the faculty member or administrative officers shall be avoided so far as possible until the proceedings have been completed. Announcement of the final decision shall include a statement of the hearing committee's original action, if this has not previously been made known.
- IX.** A faculty member on tenure who is dismissed for reasons not involving moral turpitude shall receive salary for at least a year from the date of notification of dismissal whether the faculty member is to be continued in their duties or granted a leave of absence for all or part of that year. A faculty member on unexpired term appointment who is dismissed for reasons not involving moral turpitude shall receive salary payments until whichever is earlier: the expiration of the term of appointment or one year from the date of dismissal.
- X.** In cases in which the allegation of unprofessional conduct involves sexual misconduct by the faculty member, as defined by the College's Policy, Procedures, and Guide to Preventing, Reporting, and Responding to Sexual Misconduct, the College will proceed in accordance with its institutional policies and procedures regarding such offenses. In the event that a finding and recommendation resulting from those procedures calls for the faculty member to be dismissed, that recommendation will be evaluated for action in accordance with the procedures defined in Part Four of the Faculty Handbook.

**PART FIVE: ATTENDANCE AND OUTSIDE EMPLOYMENT**

All members of the faculty not on leave of absence shall be required to be in attendance at the College during the academic year, unless excused by the President of the College. No member of the faculty shall accept employment in any occupation which interferes with the thorough, efficient, or proper performance of the duties of a member of the faculty, and no engagement shall be made for teaching in another institution without permission of the President of the College, except engagements to teach in summer sessions.

## **PART SIX: LEAVES OF ABSENCE AND DEATH**

### **I. LEAVES OF ABSENCE**

It is the policy of the College to encourage faculty members to have occasional opportunities for extended leave of a kind which will enhance their future professorial performance, add to their professional stature, or contribute to the public interest.

The College understands that family obligations and other circumstances might also necessitate a leave and offers paid or unpaid leaves as described in the Part Six. Faculty may be approved to take up to one 4-credit course release (or equivalent) per academic year to take care of family or to meet other exceptional needs. Depending on the circumstances, this leave may or may not constitute family and medical leave.

#### **A. Sabbatical Leaves**

The following regulations concerning sabbatical leaves have been adopted for members of the faculty:

Faculty members of the ranks of Lecturer, Assistant Professor, Associate Professor, or Professor, including each faculty member in a shared position, who have been in full-time service at Grinnell College during at least six years preceding the academic year in which the leave is to occur are eligible to submit to the Dean of the College a proposal for sabbatical leave. An interval of at least three years between leaves is necessary to provide the continuity of instruction and advising that is central to Grinnell's residential college community. Exceptions may appropriately be made in cases such as when a faculty member receives a Harris Fellowship or other research leave or a competitively-selected professional award from outside the institution, such as a National Science Foundation or National Endowment for the Humanities research or fellowship award. Faculty are requested to keep these guidelines in mind in making plans for projects whose timing is essentially a matter of their own choice.

In order to facilitate planning for replacements and departmental scheduling, sabbatical applications, together with a tentative outline of plans, are to be made by the second Friday in September of the academic year prior to the academic year in which the leave will begin. Further details should be forwarded as practicable when projects are fully developed. Since the purpose of the sabbatical program is to contribute both to the individual faculty member's professional development and to the benefit of the College as a whole, it is important for proposals to include a clear statement of the objectives which the faculty member intends to accomplish during the leave.

The Dean of the College shall review proposals in consultation with the Committee for the Support of Faculty Scholarship. This review group may recommend that the President approve the leave as initially proposed, or may ask the faculty applicant to revise the proposal in ways that might more effectively achieve the purposes of individual and



institutional renewal. The President, after consultation with the Dean, shall notify the faculty member when a leave is approved.

Sabbatical leaves may be for a period of one year at full pay after 12 semesters of full-time service. Faculty may elect to instead take one semester of leave after 6 semesters of service. The College will base the compensation for members of the faculty in shared positions on the average number of courses taught per year calculated from the initial appointment or since the previous leave. If the faculty member receives a salary or stipend from any agency other than Grinnell College during the period of the approved leave, the Dean of the College shall determine what, if any, the College's contribution to salary shall be for that time. The general expectation is that the total compensation should not exceed that of the Grinnell salary together with appropriate summer employment income.

Sabbatical leaves are intended to enhance faculty members' professorial performance and to broaden their experience. In keeping with these objectives, the period of the leave shall ordinarily be spent away from their usual residences. Following completion of the sabbatical leave, faculty members are expected to make a brief written report concerning their professional accomplishments and activities on leave. The Dean shall forward this report to the President and to the three divisional chairs for their information.

## B. Harris Fellowships and other Research Leaves for Assistant Professors

### 1. Harris Fellowships

A Gift from Jack ('39) and Lucile Hanson ('40) Harris has endowed annual competitive fellowships for junior faculty members at Grinnell College. The fellowships provide awardees with a leave at full salary for one academic year and research/travel funds. More details are available from the office of the Dean.

### 2. Research Leaves for Assistant Professors

Faculty members at the assistant professor rank initially appointed into full-time, Regular (i.e., not temporary or replacement) faculty positions, including shared positions, may apply for a one-semester Research Leave at full salary. Faculty members are eligible for either a Research Leave or a Harris Fellowship, not both.

Under normal circumstances (when they begin their appointments at Grinnell College having completed their terminal degree and counting no prior teaching experience as credit toward a tenure review), faculty members may apply for these leaves during their third year at Grinnell College and take a leave during the following year. Faculty members counting one year of prior teaching experience toward the tenure review are eligible to apply for Research Leaves in their third year and to take the leave in the fourth year. Those counting two years of prior teaching experience toward the tenure review are not eligible to apply for Research Leaves.

Faculty who have not finished their terminal degree when first appointed to Grinnell and who do not count part of their teaching at Grinnell toward the tenure review, or faculty who otherwise delay their tenure review beyond their sixth year at the

College, are eligible to apply for a Research Leave tenable two years prior to the year of the tenure review. Faculty in Regular, full time, non-tenure track positions (such as PE faculty and Library faculty) are eligible to apply for a Research Leave tenable two years prior to the year they are reviewed for promotion to Associate Professor.

### C. Leaves Without Pay

Leaves without pay may be granted under the following conditions:

1. Leave without pay is ordinarily granted only to applicants who are of the rank of Assistant Professor or higher at the time of application and who have been in continuous service without extended leave during the three years preceding the beginning of the academic year in which the leave is to occur.
2. Leave without pay is ordinarily granted for a period not to exceed one year. Leave without pay cannot exceed two years.
3. Application for leave without pay must normally be made six months prior to the time the leave is to be taken.
4. Faculty may be approved to take up to one 4-credit course release (or equivalent) per academic year to take care of a family member or meet other exceptional needs.

### D. Family and Medical Leave

Grinnell College understands the growing importance of family issues as its faculty members often face conflicting demands of family obligations and work. Because faculty members may require leave from their teaching for a temporary period to address family medical responsibilities or their own serious medical problem, the College has established the family and medical leave policies described in this section.

These policies comply with and go beyond the Family and Medical Leave Act (FMLA) of 1993. The policies are not intended to restrict any rights or obligations provided by the FMLA. This act requires that the College grant an unpaid leave of up to 12 weeks during any twelve-month period to care for a spouse, child, or parent if that individual has a serious health condition; or when the faculty member has a serious health condition. A “serious health condition” is an illness, injury, impairment, physical or mental condition which requires either inpatient care or continuing treatment by a health care provider. A copy of the FMLA is available in the Dean’s Office. The College policies described here include paid leave options and extend “spouse” to include “domestic partner”.

Faculty who have been employed at Grinnell College at least one-half time for twelve months are eligible to apply for these leaves.

The College will not require one member of a shared position to teach full time during an approved family or medical leave granted to the other partner. However, in the event that one of the individuals holding a shared position resigns or is unable to continue their

teaching duties for a period of time extending beyond an approved medical or other leave of absence, the other individual in the shared relationship will assume teaching duties up to the equivalent of one full-time position. For example, if one individual in the shared-position relationship suffers a long-term disability or resigns, the other individual in the shared-position relationship will assume the full-time position.

Faculty members assigned to the library and other faculty members who have assigned duties that are not explicitly tied to the academic semester calendar will consider the semester length as sixteen consecutive weeks for the FMLA leaves described in the following sections.

The FMLA requires completion of a specific application form. Thus, all requests for family or medical leave should be initiated by securing this Family and Medical Leave Request Form from the Dean's Office. Faculty members considering such leaves should review this form and the associated information document describing the FMLA. Faculty members requesting a leave should make application at least 30 days in advance of the leave if at all possible.

The College will continue its contributions toward a faculty member's medical benefits during family and medical leaves. Faculty members who normally contribute to the cost of this coverage must continue to make these contributions during the leave. Failure to make the required contributions could result in cancellation of coverage. Faculty members considering an FMLA leave should schedule a benefits review with the Benefits Specialist in the Office of Human Resources.

## 1. Medical Leave

A faculty member who must be absent because of illness, shall report the absence to the Dean of the College immediately and shall make arrangements with other members of the department, and if necessary with the Dean of the College, in order for the faculty member's duties to be carried on without interruption. The salary of the faculty member will not be affected if illnesses are infrequent and of short duration.

In the event of a serious health condition of the faculty member, the College may grant up to a maximum of 180 calendar days of paid medical leave during any twelve-month period measured forward from the first date a Family or Medical Leave is used. Medical leave may be taken in a single block of time or in intermittent separate blocks of time if medically necessary. In addition, a faculty member may request a reduced schedule leave to accommodate a serious health condition. For Medical Leaves the College requires certification of medical necessity using forms provided by the Dean's Office and might ask for medical certification that the faculty member is able to return to teaching.

When absences are so prolonged or so frequent that the faculty member is not able to carry on teaching or other duties, or when for reasons of physical or mental disability their teaching or other duties are not effective, the services of the faculty member

shall be terminated but the individual's salary shall be continued for six months following the date of termination.

In cases of disagreement regarding medical leave and disability, the dispute shall be arbitrated by a committee consisting of: the President of the College or a person chosen by the President, the Chair of the Faculty, and one person chosen by these two. The decision of the arbitration committee may be appealed to the Board of Trustees.

If a faculty member who suffers disability for an extended time has tenure at the time they become disabled, the faculty member shall be reinstated not later than the beginning of the semester after they are restored to health. However, if the period of absence extends over the equivalent of two academic years, then they shall no longer have tenure and their relations with the College shall be severed. In applying for reinstatement, the faculty member may be requested by the President of the College to present medical evidence of their ability to serve the College effectively. In case of a difference of opinion between the faculty member and the President, the matter of reinstatement shall be arbitrated as provided in the previous paragraph.

## 2. Family Leave

The following leaves are available following the birth of a child or following the placement of a child for adoption or foster care in the home of the faculty member, or as required to care for a child, parent, spouse or domestic partner with a serious health condition. In order for the College to plan for the leave, the faculty member should meet with the Dean of the College to discuss leave options as far as possible prior to the leave commencement date.

In addition to or instead of an unpaid one semester leave, faculty may be approved to take up to one 4-credit course release (or equivalent) per academic year to take care of a spouse or domestic partner, child, or parent with a serious health condition. If the faculty member has available FMLA leave, such 4-credit course release shall be counted as FMLA leave. If the faculty member is not eligible for FMLA leave or has exhausted FMLA leave, such 4-credit course release must be requested pursuant to Section C (Leaves Without Pay).

- a) Parental Leave following the birth of a child or following placement of a child for adoption or foster care:

Upon request by the parent, the College will grant either a one-semester paid leave or a total of two course reductions in teaching over two consecutive semesters. This leave must be completed within one year of birth or placement of the child; only one such leave will be granted in any twelve-month period. If requested, the College will grant a one-year delay in the evaluation for promotion and tenure.

If appropriate, the College will provide staff for course replacements; if the courses are replaced, the College, not the parent, is responsible for finding a faculty member to teach these courses.

If both parents, as Grinnell faculty members, are eligible for a family leave on account of the birth or placement of a child, the College will grant a one-semester paid leave to only one of the two parents. If the parents select the two-course reduction option, this reduction may be divided between the two parents. Normally, only one parent may receive a one-year delay in the evaluation for promotion and tenure.

If both parents, one as a Grinnell faculty member and the other as a member of the Grinnell staff or administration, are each eligible for a family leave on account of the birth or placement of a child and both wish to have paid leaves, the College will grant a one-course reduction to the faculty member and up to a six-week paid leave to the staff member.

- b) Family leave to care for a spouse or domestic partner, child, or parent with a serious health condition.

Upon request by the faculty member, the College will grant up to a one-semester unpaid leave, either full or partial, in a given twelve-month period measured forward from the first date a Family or Medical Leave is used to care for a spouse or domestic partner, child, or parent with a serious health condition. The faculty member must provide medical certification that such leave is a medical necessity. During the leave the College will continue its contributions toward the faculty member's medical, life, and long-term disability plans but the College will prorate contributions to the retirement plan, according to the unpaid leave.

#### E. Jury Duty

If called for jury duty, the faculty member will continue to receive regular salary while serving as a juror. Therefore, all pay received from the court for jury service while classes are in session must be given to the Treasurer's Office. The faculty member may retain mileage and expense payments.

#### F. Military Duty

Regular faculty members drafted by the military service of the United States, and those who are members of Reserve or National Guard units called into active duty, are entitled to leave of absence from the College. Such leaves will be without pay and will not be construed as breaking the continuity of employment, provided the faculty member returns to the College, in accordance with the Selective Service and Training Act. Temporary and occasional faculty members are not eligible.

## **II. DEATH OF FACULTY MEMBERS**

In the event of a death of a faculty member while in the service of the College, the faculty member's estate shall be paid the person's salary for the month in which the death occurs and for two succeeding months.

## **PART SEVEN: FINANCIAL EMERGENCIES AND CHANGES IN THE COLLEGE'S EDUCATIONAL PROGRAM**

A faculty member on tenure may be dismissed, with twelve (12) months' notice, because of financial emergency, but the appointment so vacated may then not be filled for two (2) years unless the released faculty member has been offered reappointment and has declined. Before terminating tenure appointments under this provision, the President of the College shall first set a moratorium on new appointments and shall seek to relieve the financial emergency by terminating contracts not involving tenure. From time to time it may be desirable or necessary for the College to vary its curriculum or to reorganize its educational program. In such cases, faculty members on tenure will be expected to accept reasonable changes in their duties and responsibilities.

## **PART EIGHT: PRINCIPLES OF ACADEMIC FREEDOM AND FACULTY RESPONSIBILITY**

### **I. CONFLICT OF INTEREST**

- All faculty of the college are subject to the college's conflict of interest policy, which may be found in Appendix XV.
- Following this policy, cases in which faculty members teach, supervise and/or evaluate the performance of family members necessarily present conflicts of interest. Where course offerings and the number of faculty teaching in a given discipline or interdisciplinary field are limited, such conflicts may be difficult to avoid. Yet faculty should seek to minimize them wherever possible by (1) teaching their family members only when no other option is available for the student to take a given course, and (2) requesting that a department chair (or other colleague if the faculty member in question is serving as chair) review course enrollment decisions, and the evaluation of the student and the assignment of grades to ensure that they are appropriate.
- Faculty should recuse themselves from all personnel, hiring, or contractual procedures involving a family member. Faculty should recuse themselves from any discussions regarding student awards involving a family member. *Whenever possible, faculty should recuse themselves from discussions of research opportunities involving a family member. When this is not feasible, faculty should request that a department chair (or other colleague if the faculty member in question is serving as chair) review decisions regarding research opportunities involving a family member.*
- In cases of uncertainty regarding the application of these provisions, faculty should contact the Dean of the College. Should the conflict pertain to the Dean, the matter should be referred to the President.

### **II. ACADEMIC FREEDOM**

Grinnell College has accepted both the letter and the spirit of the American Association of University Professors' 1940 Statement of Principles on Academic Freedom as given below.

- A. "Teachers are entitled to full freedom in research and in the publication of the results, subject to the adequate performance of their other academic duties; but research for pecuniary return should be based upon an understanding with the authorities of the institution."
- B. Academic freedom does not give teachers unlimited freedom in the classroom. The 1940 AAUP statement on academic freedom includes the following: "Teachers are entitled to freedom in the classroom in discussing their subject, but they should be careful not to introduce into their teaching controversial matter which has no relation to their subject." The College thinks that it is clearly unethical to use the classroom to discuss specific personnel matters.



- C. Among the accepted responsibilities and obligations of each member of the faculty is that of reporting to the Registrar, at the appointed times, grades in accordance with the grading system and with the grading regulations which the faculty shall from time to time adopt. Inherent in this responsibility and obligation is the further understanding that all such grades reported shall have been determined, in the final analysis, on the basis of the faculty member's own professional evaluation of each individual student's work.
- D. "College or university teachers are citizens, members of a learned profession, and officers of an educational institution. When they speak or write as citizens, they should be free from institutional censorship or discipline, but their special position in the community imposes special obligations. As scholars and educational officers, they should remember that the public may judge their profession and their institution by their utterances. Hence they should at all times be accurate, should exercise appropriate restraint, should show respect for the opinion of others, and should make every effort to indicate that they are not speaking for the institution."
- E. Provisions A, B, C, and D of this section are, and are hereby made, part of the contract, written or implied, of every faculty member.

## ADMINISTRATIVE GUIDELINES AND PROCEDURES OF INTEREST TO FACULTY

Information on various processes and procedures is available on the Dean's Office intranet page at: <https://grinco.sharepoint.com/sites/dean/SitePages/Faculty%20Resources.aspx> .

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### APPENDIX I

#### PROFESSIONAL DEVELOPMENT

Information on support for the following is located on the Dean's Office intranet page:

**Faculty Travel to Professional Meetings:**

<https://grinco.sharepoint.com/sites/DeansOffice/FacultyResources/Forms/AllItems.aspx?id=%2Fsites%2FDeansOffice%2FFacultyResources%2FFacDevFunds%5FCompGrantGuidelines%2Epdf&parent=%2Fsites%2FDeansOffice%2FFacultyResources>

**Support for Scholarly Projects:**

<https://grinco.sharepoint.com/sites/DeansOffice/FacultyResources/Forms/AllItems.aspx?id=%2Fsites%2FDeansOffice%2FFacultyResources%2FFacDevFunds%5FCompGrantGuidelines%2Epdf&parent=%2Fsites%2FDeansOffice%2FFacultyResources>

**Support for Curricular Development:**

<https://grinco.sharepoint.com/sites/deanhttps://www.grinnell.edu/about/leadership/offices-services/dean/support-teaching/SitePages/Support%20for%20Teaching.aspx>

## APPENDIX II

### BENEFITS AND OTHER ISSUES RELATED TO EMPLOYMENT AT GRINNELL COLLEGE

**Information on Health, Insurance, Retirement, and other benefits is located at:**

<https://www.grinnell.edu/about/leadership/offices-services/hr/benefits>

**Information on other policies or services related to employment or access to College resources are below or are located at the following URLs:**

#### **Library Privileges**

Information on services and privileges of the College libraries are available at:

<https://www.grinnell.edu/academics/libraries/faculty-staff>

#### **Pioneer One Card**

The Grinnell College Pioneer One-Card (P-Card) is the campus identification system, providing convenience and access to services and facilities at Grinnell College. Additional information may be obtained at: <https://www.grinnell.edu/about/leadership/offices-services/auxiliary-services/pioneer-one>

#### **Bookstore Discount**

Faculty members and their family members may receive a percent discount on most items at the College Bookstore. Additional information is available from the Bookstore manager.

#### **Mail and package mailing services**

The College maintains a Mail Services unit which provides services for on and off campus deliveries of mail and small packages. Those services may be used for both official and personal business (with costs being paid by the individual.) This service may not be used by employees or students of the College who are sending or receiving packages as part of a business or for profit. Mailing services are limited to current and retired employees and should not be used for the benefit of others. Additional information may be obtained at: <http://www.grinnell.edu/about/offices-services/mail>

#### **Physical Education Facilities and Live Well Grinnell Programs**

Information on college wellness programs and access to athletic facilities is available at: [https://pioneers.grinnell.edu/sports/2012/4/15/GEN\\_0415123140.aspx](https://pioneers.grinnell.edu/sports/2012/4/15/GEN_0415123140.aspx)

#### **Country Club Privileges**

Membership in the Grinnell Country Club, which has a nine-hole golf course and a swimming pool, requires ownership of one share of stock. The College owns fifty shares of stock which are available for the use of individual faculty members without charge. The individual faculty member, however, must pay the annual membership dues plus any other fees or assessments. Faculty members who wish to use one of the shares of stock owned by the College should contact the Office of Human Resources.

## APPENDIX III

### PARLIAMENTARY PROCEDURE

- I. In October 1967 James Stauss, then Dean of the College, proposed the following short version of Robert's *Rules of Order*, and they have been generally followed since that time.
  - A. **Order** (highest ranked on top) procedure *re* a *main\_motion* and *subsidiary\_motions* (of the kind applicable to a main motion):
    1. **Lay on the table:** Majority vote required; cannot be amended; not debatable; open to explanation by presiding officer of effects of vote.
    2. **Previous question** (i.e., to close debate and to vote on immediately pending motion): Two-thirds affirmative of those voting required; not debatable; but open to explanation.
    3. **Limit or extend limits of debate:** Two-thirds affirmative of assembly present required; can be amended; not debatable; but open to explanation.
    4. **Postpone to a certain time:** Majority vote required; can be amended; debatable.
    5. **Commit or refer:** Majority vote required; can be amended; debatable.
    6. **Amend:** Majority vote required; can be amended (but not beyond "amendment of an amendment"); debatable.
    7. **Postpone indefinitely:** Majority vote required; cannot be amended; debatable.
    8. **Main motion:** Majority vote required; can be amended; debatable.
    9. **NOTE:** This order of precedence indicates that consideration of a motion of lower rank may be interrupted and another motion (of higher rank) put in its place as the *immediate pending motion*. In general, "procedural" motions (*re* rights of voters, timing of business, referral of main motion and/or amending motion, etc.) have precedence over "substantive" motions.
  - B. Division of a topic of business, or of interrelated topics, etc. (pertaining to items such as a set of proposals in a major motion or a set of recommendations in a report): The matter may be arranged by general consent (preferably when the topic is first introduced); otherwise, it is arranged upon motion specifying the method of division: majority vote required; can be amended; debatable (*a local custom, departing from RRO*; and *re* order of precedence, yields to all motions except "to postpone indefinitely" and "to amend."
    1. The matter may be resolved in one or a combination of two ways:
    2. Division of a question, or separation of propositions, applicable to main motions and to amendments; and/or

3. Consideration of paragraph (or section) or seriatim (where parts of an elaborate proposition or a set of proposals are interrelated): involves *first*, a motion to adopt the proposition or set of proposals; *second*, general consent or a motion so to consider; *third*, each paragraph (or section) open to amendment successively, but not to separate adoption; and *fourth*, final treatment of the original motion to adopt as any main motion.
- C. The motion “to postpone to a certain time” has a special local application, as follows (Faculty Minutes, 5 March 1956):
1. “It was voted that whenever a substantive measure presented on the floor of the faculty for the first time is, in the opinion of the presiding officer or of twelve voting members of the faculty, of a nature and importance to warrant further consideration and discussion, final vote on that measure shall be deferred until the next regular or special meeting of the faculty.”
  2. Any ruling of the presiding officer that a motion to defer final vote is not (or is) within this provision may be appealed: on motion to put the question “Shall the decision of the chair be sustained.” *Re* this motion: majority vote required to reverse; cannot be amended; debatable.
  3. A “substantive measure” will have been presented for the first time (special provision therefore not applicable) in either of two situations:
  4. Upon division of a topic of business or of inter-related topics, or upon decision to consider by paragraph or seriatim, as set out in Item B: This action constitutes “presentation of a substantive measure,” *provided members of the faculty have had reasonable opportunity to know the content of the topic.*
  5. Upon the introduction of any main motion: The introduction constitutes “presentation of a substantive measure,” with the same proviso.
- (1) (With regard to amendments:)
6. The presiding officer, at his discretion upon his judgment that the measure is of a nature and importance to warrant further consideration and discussion, may defer a vote (on the amendment) until the next regular or special meeting of the faculty; or
  7. The same disposition of the matter may be accomplished by a regular motion to “postpone to a certain time” (see Item A, on precedence of motions).
- D. Amendment of an order of business previously adopted: Two-thirds affirmative vote of the assembly present required; can be amended (majority vote required); debatable.
- E. Voting by written ballot: Can be so ordered (a) by general consent, or (b) by majority vote (upon motion—*undebatable*).
- F. The “substantive” motion: An *amending* motion, wherein the amendment involves striking out one or more paragraphs, a section, or an entire resolution, and inserting

therefore one or more paragraphs, a section, or another resolution; but, as an amendment proposed, is *not in order* if: (a) not germane to the question to be amended; (b) makes the affirmative of the amended question equivalent to the negative of the original question; (c) changes one form of amendment to another form; or (d) applies to less than a paragraph. The “substitute” motion is a complicated form of an amending motion (see RRO) involving intricate procedural requirements. Except in the case of a committee, etc., reporting back with recommendation, it is not an acceptable motion in faculty meeting.

- G. Motion to “reconsider” can be moved only at meeting when vote to be reconsidered was taken, or at next meeting; can be moved only by one who voted with prevailing side; further: majority vote required, cannot be amended, *debatable (not qualified as in RRO)*.

This motion opens to reconsideration a question previously decided; its use is to be rid of, or to amend, previous legislation or other adoption, or to express a new or revised idea. It is employed when one or more members have changed their views from the prevailing to the losing side, and believe that further discussion may lead to reversal or revision of the previous measure.

This motion can be made at any time (notwithstanding the order of precedence of motions); but it cannot be taken up at the time it is made, unless its status warrants immediate debate. That is, it has the status of a motion to be reconsidered, with preference only over any new motion of equal rank.

Local custom, departing from RRO, gives discretion to the presiding officer to govern use of the motion to expedite business in a way congenial to realizing the majority wishes of members of the faculty, while protecting the interests of a minority; i.e., does not follow the intricacies of RRO.

- H. Motion to “rescind” in order only if motion to “reconsider” is not applicable; majority vote required if notice of motion has been given, either at previous meeting, or upon due notice as interpreted by presiding officer (departing from RRO); otherwise: two-thirds affirmative vote of assembly present required, or a majority of enrolled membership. Further: *debatable (not qualified as in RRO)*. This motion has the status of a main motion in the order of precedence. Local custom, departing from RRO, gives discretion to the presiding officer as in the case of the motion to “reconsider.”
- I. Motion to “go into committee of the whole”: This motion to “commit or refer” is used to achieve informal discussion of a topic, or to put a measure into proper form for consideration by the assembly, or to consider alternatives, etc.

The committee of the whole, through conduct of business in ways similar to the formal meeting, may decide on a report containing recommendations. In this case, when the committee of the whole reports back through a designated “reporter” (departure from RRO), the “reporter’s” motion is to “adopt” the report (recommendations). Any pending amendment in conflict is disposed of first.

- J. Absentee voting: when a vote in faculty meeting has been announced on a published slate of candidates for faculty election, or on a question completely put (i.e., in final form, and not open to amendment, or not in fact changed by other than minor stylistic amendments),

a person who cannot be present, but is otherwise eligible to vote, may vote *in absentia* by presenting a signed and sealed ballot prior to the meeting to the chairman of the meeting, or, in the case of faculty elections, to the chair of the Faculty Organization Committee.

## APPENDIX IV

### HONORARY DEGREES

#### A. Selection Criteria

Each degree granted by Grinnell College should accomplish some objectives for the benefit of the College. The primary objective is to recognize and thereby encourage a standard of excellence, which is exemplary to the students for the conduct of their lives. A secondary objective is to promote the reputation of the College as an institution which recognizes and promotes such excellence.

In accord with these primary and secondary objectives, it is appropriate that many of the degrees be granted to alumni as well as non-alumni.

In consideration of a degree, “timeliness” should be a factor. The degree usually should be granted when the candidate has first done something conspicuous to be worthy of it, not years later when recognition is meaningless to the recipient. A degree to a member of the alumni should generally be granted in the year of that person’s class reunion.

In accord with this general policy, the following specific considerations should be kept in mind in the selection of honorary degree recipients:

1. The number of degrees granted depends on the particular circumstances of the occasion, but should never be so numerous as to devalue the meaning of the honor.
2. Candidates for honorary degrees should be chosen from a variety of fields such as public service, business, divinity, social studies, science, humanities, and education.
3. At any occasion for the awarding of honorary degrees, care should be given to include at least one person of outstanding distinction in scholarship and teaching.
4. Certain occasions for the granting of honorary degrees may call for a particular “theme” in the selection of those to be honored.
5. An effort should be made to grant degrees to some individuals on their way to fame, rather than those past their prime, or to persons who may never be famous but who perform outstanding service quietly or obscurely. Preference should be given to candidates who have received no other honorary degree.
6. At least half of Grinnell’s honorary degrees should be granted to alumni, unless special circumstances dictate otherwise.



## B. Selection Procedures

1. A subcommittee of the Executive Council composed of the Faculty Chair and the two at-large members will consider honorary degree and commencement speaker candidates. The Commencement Coordinator will serve as *ex-officio* member, will be secretary of the subcommittee, and will assemble lists of candidates submitted yearly by the faculty, students, and administration.
2. The subcommittee will report to the Executive Council. The Executive Council will submit to the faculty a recommendation for commencement speaker in the spring semester one year prior to commencement. The Council will submit the honorary degree recommendations in the fall semester prior to commencement.

## **APPENDIX V**

### **FACULTY GRIEVANCE PROCEDURE**

#### **Eligible Grievants**

The grievance procedure applies to all faculty members of Grinnell College, including full-time or part-time.

#### **Subject Matter**

A faculty grievance is an allegation of substantial unfairness which damaged or harmed the grievant and which relates to their work as a faculty member. This procedure does not cover complaints related to appointments; promotions; tenure decisions; salary; misconduct in scientific research; dismissals for cause; allegations of discrimination on the basis of race, color, religion, gender, national origin, age, disability, sexual orientation; or sexual harassment.

#### **Pre-Grievance Efforts**

A faculty member who asserts a grievance is expected to make timely and good-faith efforts to resolve the grievance through consultation before resorting to the faculty grievance procedure. Among the steps deemed appropriate are: discussing the grievance with the person or persons who appear to be responsible for it; discussing the grievance with the Ombuds Office; discussing the grievance with the Chair of the Faculty, Dean of the College, or the President. Parties to a grievance are encouraged to agree to having an outside mediator attempt to resolve the grievance. Such mediation shall not preclude selection of the informal or formal grievance procedures.

#### **Grievance Procedure**

A faculty member who concludes that they have a grievance and has failed despite timely and good-faith efforts to resolve that grievance, may invoke the faculty grievance procedure. The grievant may choose to file either an informal or formal grievance, in accordance with the procedures set out below. A grievance filed by a member of the Grinnell College faculty against any other faculty member(s) or the administrative staff sets in motion a process that will occur in an academic, rather than judicial, setting.

These procedures shall be followed by all participants in the grievance procedure.

Any party to a grievance (i.e., the grievant and those person or persons named in the grievance) may have an adviser drawn from the college community assist in the procedures set out under this policy. The adviser's role can include helping the party prepare their case, advising on the procedural aspects of the matter, and being a nonparticipating supporter at any hearing which may occur. Parties to a grievance are expected to speak for themselves, to present their own cases, and to ask and answer questions.

While it is the legal right of anyone involved in the process to consult an attorney independently and/or to have an attorney assist in preparations for the process, the academic and non-judicial setting of this process dictates that attorneys may not be present at any meeting or hearing which may occur. Because attorneys for the College will, or may, advise the President, the

subcommittee of the Executive Council, and any Grievance Panel, these attorneys may not be available to advise either the grievant or the person or persons named in the grievance.

#### A. Informal Procedure

Members of the faculty may lodge an informal grievance by filing a statement of the specific grievance with the Chair of the Executive Council who will then designate a subcommittee of no more than three members of the Executive Council (the “subcommittee”). The grievant shall also send a copy of the statement to the person(s) against whom the grievance is lodged. The most senior member in service to the College of the subcommittee shall set a date for a meeting between the grievant and the person(s) against whom the grievance has been lodged to discuss the grievance with the subcommittee.

At the meeting, both the grievant and person(s) against whom the grievance has been lodged will discuss the grievance with the subcommittee. The scope and content of this procedure shall be determined by the subcommittee with the mutual consent of the grievant and the person(s) against whom the grievance has been lodged. At the conclusion of the meeting, the subcommittee shall write a letter to those concerned in which the subcommittee states its view as to the merits of the grievance and makes whatever recommendation it feels is appropriate.

If all parties accept the terms, the resolution is successful and the case is settled. If the recommendation is not accepted, the grievant may proceed to the formal grievance procedure at the conclusion of the informal procedure.

#### B. Formal Procedure

##### 1. The Faculty Grievance Board

The Faculty Grievance Board shall handle formal grievances based on allegations of substantial unfairness which damaged or harmed the grievant and which relates to their work as a faculty member. The Board is not authorized to handle complaints related to appointments; promotions; tenure decisions; salary; misconduct in scientific research; dismissals for cause; allegations of discrimination on the basis of race, color, religion, gender, national origin, age, disability, sexual orientation; or sexual harassment.

##### a) Membership of the Faculty Grievance Board

The Faculty Grievance Board shall be composed of six faculty members who are tenured or are at the associate professor or professor rank with at least four years of service to the College. The composition of the Board shall be determined as follows: The Executive Council shall constitute the Board initially by naming the six active faculty members (which includes those on SFS) who have most recently completed a term of service on the Executive Council. Members shall serve a two-year term. Thereafter, from time to time as necessary, the Executive Council shall fill vacant positions by naming the active faculty member or members who have then most recently completed a term of service on the Executive Council. Faculty members on leave may elect not to sit on the Board. In any situation in which there are two or more equally eligible faculty members available to fill a single position on the Board, the faculty member most senior in service to the College shall be

selected first. Where two or more faculty members are equal in seniority, the position shall be filled by drawing lots.

The faculty member on the Board who is most senior in service to the College shall be the chair. Where two or more faculty members are equal in seniority, the position of chair shall be filled by drawing lots. If, for any reason, such person is not able to serve as chair in any particular circumstance then the next most senior member who is able to serve shall serve until the most senior member is again able to serve.

b) Grievance Panel

When a formal grievance is filed, the Faculty Grievance Board shall meet promptly to choose by lot three members to constitute a Grievance Panel to consider the grievance. The faculty member sitting on a Grievance Panel who is most senior in service to the College shall be the chair of the Grievance Panel.

A member of the Faculty Grievance Board shall abstain from sitting on a Grievance Panel in case of conflict of interest. The names of the three members chosen by lot shall be made available by the Board to the grievant and the person(s) against whom the grievance was lodged within twenty-four hours of selection. Within twenty-four hours of such notification, the grievant or the person(s) against whom the grievance was lodged may submit to the Chair of the Faculty Grievance Board a statement asserting that a Grievance Panel member has a possible conflict of interest. Such statement shall describe the alleged conflict. The chair of the Faculty Grievance Board shall determine whether the alleged conflict disqualifies a Grievance Panel member. In the case where sufficient members of the Faculty Grievance Board are deemed ineligible due to a conflict, the Executive Council shall name sufficient ad hoc members to a Grievance Panel who are tenured or are at the associate professor rank with at least four years of service to the College. The Executive Council shall seek disinterested faculty members. The grievant and the person(s) against whom the grievance has been lodged are not entitled to challenge the Executive Council's selection.

2. Grievance Petition

A person may begin the formal grievance process by filing a grievance petition with the chair of the Faculty Grievance Board. The grievant will simultaneously send by U.S. mail a copy of the petition to each person against whom the grievance is being lodged. The chair of the Faculty Grievance Board shall confirm with each person against whom a grievance has been lodged that the person received a copy of the petition. The chair shall also specify the date by which each such person must respond to the petition.

The grievant shall also simultaneously send by U.S. Mail or campus mail or deliver in person a copy of the petition to each member of the Faculty Grievance Board.

The grievance petition must include:

- a) A statement of the particulars of the grievance, including a specification of the basis for the grievance and allegations with respect to the act or acts constituting the grievance and the person or persons responsible for those acts;
- b) A description of how the unfairness damaged or harmed the grievant; and
- c) Relevant information and documents available to the grievant which support the grievance: e.g., copies of letters or memoranda, witness statements, and other relevant material.

### 3. Timing

In order to assure adequate time for the grievance to be evaluated, given the nature of academic calendars, and to ensure that the membership of the Grievance Panel remains the same throughout the process, the Faculty Grievance Board will normally receive grievance petitions from the first day of classes of the academic year through March 15. Only in very unusual circumstances will the Faculty Grievance Board agree to receive grievance petitions outside this period and then only if there are compelling reasons to decide the case more quickly than is provided by these procedures. The decision as to whether or not to accept such a petition shall rest solely with the Faculty Grievance Board.

### 4. Response to the Grievance Petition

The date for response shall be no more than thirty days after the date of mailing of the initial grievance petition, unless the chair determines that extenuating circumstances warrant a longer period of up to an additional thirty days. Any written response shall be filed with the chair of the Grievance Panel (which will have been constituted by this time) and a copy shall simultaneously be sent by U.S. Mail to the grievant. Any written response shall also be simultaneously sent by U.S. Mail or campus mail or delivered in person to each member of the Grievance Panel.

The response should include:

- a) An answer to all the charges in the grievance petition; and
- b) Any relevant information and documents available to those against whom the grievance has been lodged which supports the defense claimed. Like the grievance petition, the response should include copies of letters or memoranda, witness statements, and other relevant material which support the position of those against whom the grievance has been lodged.

### 5. The Grievant's Reply

Within no more than seven days after the date any response has been timely mailed, the grievant may file a reply. The reply shall acknowledge receipt of the response and shall either note that the grievant intends to proceed with the petition as filed or will note that

one or more of the original charges is being dropped. No additional charges may be lodged.

## 6. Pre-Hearing

- a) If the Grievance Panel determines either that the grievant has failed to make good-faith efforts to resolve the grievance before invoking the grievance procedure or that the grievant has failed to establish a *prima facie* case of a grievance, it shall so notify the grievant. The grievant shall have an opportunity to respond within a reasonable time specified by the Grievance Panel; but if the Grievance Panel remains convinced either that good-faith efforts were lacking or that a *prima facie* case was not established, it shall so notify the grievant in writing and terminate the grievance procedure. The Grievance Panel will also report its determination, with or without recommendations, to the President.

The grievant may appeal the Grievance Panel's determination to the President. The President may sustain the Grievance Panel's determination or request that the Grievance Panel conduct a formal hearing.

- b) If the Grievance Panel determines that the grievant has made good faith efforts toward resolving the grievance and that a *prima facie* case for the grievance has been established, it shall proceed to a hearing.

## 7. The Hearing

Within ten days after expiration of the time period for the response(s) to the grievance petition, the chair of the Grievance Panel shall set a date for the hearing. All parties shall be consulted as to a convenient hearing date, but the decision as to the date shall rest ultimately with the chair of the Grievance Panel. The date selected must occur within thirty days after expiration of the time period for response (s) to the grievance petition unless the Grievance Panel, by a majority vote, agrees to a later date.

In the hearing, the Grievance Panel shall proceed by considering the grievant's allegations with respect to the grievance and determine whether all the evidence, considered together, substantially establishes the grievance. The purpose of the hearing shall be for the members of the Grievance Panel to ask whatever questions may be necessary to clarify the arguments contained in the grievance petition, the response to the grievance petition, and the grievant's reply.

The following provisions apply:

- a) Prior to the hearing, members of the Grievance Panel may examine other relevant, non-confidential College documents and interview whomever they deem necessary. In such cases, the grievant and those against whom the grievance has been lodged will be notified by the Grievance Panel in writing which documents and which individuals the Grievance Panel will examine.
- b) The chair of the Grievance Panel shall serve as the chair of the hearing and all rulings of the chair shall be binding. Those who may be present during the hearing

and who may participate shall be members of the Grievance Panel, the grievant, those against whom the grievance was lodged, and non-attorney advisers to the parties. No other individuals may attend the hearing except as noted in (f) below.

- c) The grievant and those against whom the grievance has been lodged shall be allowed to make opening and closing statements if they desire. The grievant and the person or persons against whom the grievance is being lodged shall not ask questions of each other. No party shall be put under oath and no verbatim transcript shall be kept.
- d) The Grievance Panel need not adhere to judicial rules of evidence and may consider any germane evidence of probative value with respect to the matter involved.
- e) The burden of proof shall rest with the faculty member asserting the grievance but the Grievance Panel shall not be foreclosed from seeking additional evidence relating to the grievance on its own initiative.
- f) The Grievance Panel shall conduct the proceedings in a fair and orderly manner. The Grievance Panel may secure the presentation of evidence and attendance of witnesses concerning facts in dispute and may request the assistance of the College administration in obtaining the attendance of witnesses. The Grievance Panel may, at any time it deems appropriate, deliberate in private.
- g) The deliberations of the Grievance Panel and testimony before the Grievance Panel shall be confidential. Obligations to respect the confidentiality of the testimony, the proceedings, and the recommendations and reports of the Grievance Panel extend to all members of the College community and to all persons involved in the proceeding. Violations of confidentiality by any party may be considered with prejudice by the Grievance Panel. See Subsection 12 below.
- h) At any point in its proceedings, the Grievance Panel, on its own initiative or in response to one or more parties, may recommend further efforts at conciliation or mediation and may suspend its proceedings during this period.

## 8. The Report

The Grievance Panel shall prepare a written report to the President with its finding on each charge and such recommendations, including sanctions that are within the power of the President, as it deems appropriate. A copy of this report, modified as necessary to protect confidentiality or to reflect the varying ways in which parties may have been involved in the case, shall be sent to the grievant and those against whom the grievance has been lodged.

A copy of all documents submitted to the Grievance Panel shall be appended to the report to the President, including the grievance petition, the response to the grievance petition, and the grievant's reply.

The Grievance Panel shall reach its decision in a timely manner, usually within three weeks of the end of the hearing.

#### 9. Resolution

Within ten days of the Grievance Panel's decision, parties to the grievance may submit a written statement to the President with respect to the Grievance Panel Report.

The President shall decide what further steps to take, either to redress the grievance or to act upon advice given by the Grievance Panel, and shall inform the Grievance Panel and the parties of the decision and give reasons for it.

#### 10. Complaint Against Institutional or Official Finding

Where the subject of a grievance is some official or institutional (including department or committee) finding, decision, recommendation, or action, the Grievance Panel's review is limited to determining whether that body was authorized to act on the matter in question, whether it acted in accordance with procedures of the College and only after due consideration, and whether the decisions, recommendation, or action was consonant with the acknowledged requirements of academic freedom or other substantial rights of the grievant. In no such case, shall the Grievance Panel enter into an assessment of the substantive merits of the finding, decision, recommendation, or action complained of, and a finding of error shall result only in a recommendation to retract or reconsider the offending outcome. Where the Grievance Panel discovers only harmless error, it need not recommend any remedial action. At the conclusion of the proceeding, the Grievance Panel shall prepare a written summary of what it judges to be the central issues involved and a statement of its recommendations. This document shall be sent to the President, the grievant, and those against whom the grievance has been lodged, modified as necessary to protect confidentiality or to reflect the varying ways in which parties may have been involved in the case. The President shall receive a complete statement of the Grievance Panel's summary and recommendations.

#### 11. Complaint Against the President

Where the President is named as a party to the case that has been heard by the Grievance Panel, the Grievance Panel shall transmit its summary and recommendations to the Chair of the Board of Trustees, or a person delegated by the Chair, whose action shall be final.

#### 12. Confidentiality

Almost every grievance, whether addressed informally or formally, presents a tension between a grievant's right to know and the institution's need to protect the confidentiality of certain information and deliberations. Questions of access should be resolved by attending to the conflicting interests in specific cases. As a general rule, however, a grievant has no right to the confidential communications of colleagues whether as individuals or as members of a department or a College committee. On the other hand, if the Grievance Panel is to make an informed decision and recommendation in a disputed matter, it must have access to all pertinent information including, for example, a department's minutes or other records in connection with a disputed matter.



## APPENDIX VI

### GUIDELINES ON POLITICAL ACTIVITY

In any time of political campaigning, questions arise as to the use of College facilities for speeches and other activities of political candidates and their college sponsors or supporters. Because the College is a non-profit institution with tax-exempt status, it cannot be put in a position whereby it is, or seems to be, providing facilities and other forms of support for partisan political activity. More than this, the College must insure that such activity will not interfere with the regular educational and extracurricular programs of students and faculty at the College.

In order to facilitate political discussion without violating the College's tax-exempt status or interrupting its principal mission of education, the College asks its faculty, students and staff to abide by the following regulations:

#### A. Use of Mail Room

Circulation and dissemination of political literature must not interfere with the regular distribution of U.S. Mail and College notices in the Campus Mail Room. Students and others may not enter the Mail Room to stuff mailboxes with items of a political nature without the permission of the Mail Room Manager, extension 3421. At times when such permission is granted, the material placed in the boxes must bear the name of the person distributing it and contain a statement that, if any College equipment or supplies were used in preparing it, they were paid for with non-College funds.

#### B. Use of Computer Copying Facilities

The use of the College's computer facilities for the preparation of political literature is prohibited. Also, such literature may not be copied in quantity without permission. Such permission will be granted only if 1) the work will not interfere with other College work and 2) payment is made for the cost of copying.

#### C. Use of the College's Name

No student or employee of the College should use the College's name, letterhead, or logo in any communication in support of a political party or candidate. Letters to the editor of a newspaper or other periodical in support of, or opposition to, a candidate or party should avoid identifying the writer as being affiliated with Grinnell College.

#### D. Person-to-Person Electioneering

Representatives of political parties or candidates may not solicit votes-either by confronting students, faculty, or staff, or by distributing literature-in classroom buildings, the library, residence halls, or places other than the designated area in the Joe Rosenfield '25 Center.

1. Candidates or their representatives must request permission from the Joe Rosenfield '25 Center director in order to solicit votes. This should be done in advance of the visitation date.

2. Political signs may be posted only in places designated by the Joe Rosenfield '25 Center director.
3. Campaign workers may not impede the general flow of traffic within the Joe Rosenfield '25 Center. If individuals stop to pick up literature or express an interest in the campaign, campaign workers are free to discuss various issues with them.

E. Solicitation of Funds

Campaign workers (including students, faculty and staff at the College) may not engage in person-to-person solicitation of funds on campus for political purposes. All fund-raising must be done by direct mail (not campus mail).

F. Political Speeches

All announced candidates for public office may give talks at the College under the following conditions:

1. Such talks are to be open to the entire community, with rights of reply to be afforded to persons in the audience.
2. All candidates or their representatives must inform the College's Committee on the Program in Practical Political Education (PPPE) as far in advance of a candidate's appearance as possible. The PPPE Committee acts as the coordinating unit for such appearances, and its chair must be contacted to arrange for a candidate's visit.
3. The PPPE chair must formally schedule the visit by arranging for an acceptable time on the Campus Calendar (Office of Conference Operations and Events) and location.
4. All setup costs related to the speech that go beyond what are considered normal college setups, such as chairs and microphones, microphone in Herrick Chapel, etc., must be paid for by the candidate's organization. A rental agreement must be signed if special setups are required.

G. Closed Political Meetings

Political meetings that are closed to the public (for purposes of discussing campaign strategies with candidates or engaging in other partisan discussions) must be reported in advance to the Dean of the College (Nollen Second, Ext. 3100) if they are held in a College room usually devoted to classes or to other College activities. Rental fees will be charged for such rooms, and a use agreement must be signed to cover these meetings as well as the larger public meetings (F. 4. above).

## APPENDIX VII

### RESEARCH OVERSIGHT

Research oversight at Grinnell College (College) encompasses the Institutional Review Board (IRB), Institutional Animal Care and Use Committee (IACUC), and Institutional Biosafety Committee (IBC). These committees are charged with reviewing research proposals from faculty, staff, and students so that research with human participants, non-human subjects, and biohazards complies with accepted ethical practices. The Office of Institutional Compliance oversees these committees as well as issues of research integrity and conflict of interest. Further information about the committees may be found at <https://www.grinnell.edu/about/offices-services/research-ethics>.

#### I. Institutional Review Board

##### A. Membership

The federal regulations require that the IRB must have at least five members, with varying backgrounds to promote complete and adequate review of research activities commonly conducted at the College. The IRB shall include at least one member whose primary concerns are in scientific areas and at least one member whose primary concerns are in nonscientific areas. The IRB shall also include at least one member who is not otherwise affiliated with the institution and who is not part of the immediate family of a person who is affiliated with the institution. Every nondiscriminatory effort shall be made to ensure that the IRB consists neither entirely of men nor entirely of women. **[REQUIRED BY 45 CFR § 46.107]** Faculty members are nominated for three-year terms by the Faculty Organization Committee (FOC) and then approved by the Institutional Official for Research and the President. One faculty member is nominated by the FOC to serve as chair, pending final approval by the Institutional Official and President. The fifth member shall be nominated by the College's Director of Community Enhancement and then approved by the Institutional Official and President. The Institutional Official for Research is the Vice President for Academic Affairs and Dean of the College. Any vacancies must be filled in order to conduct IRB review in compliance with the federal regulations.

##### B. Duties

The IRB reviews all proposals for research involving human participants by faculty, staff and students. The review is for the purpose of ascertaining that the research project will be conducted in an ethical manner and that the proposed research activities are in compliance with applicable laws.

##### Ethical Standards

The chair of the IRB will keep on file current regulations concerning the treatment of human participants. Federal regulations for human subjects are found in Volume 45 of the Code of Federal Regulations, at Section 46 (45 C.F.R. § 46). In addition, guidance in making ethical decisions may be obtained from the statement on ethical

principles published by professional associations in the sciences and social sciences.

### Research

- a. Research is defined as systematic investigation, including research development, testing and evaluation [45 C.F.R. § 46.102], designed to develop or contribute to generalized knowledge.
- b. A human subject is defined as a living individual about whom an investigator conducting research obtains data through intervention or interaction with the individual or identifiable private information.
- c. All research proposals undertaken for student research, for faculty and staff research, or for grants from the College, federal government, or other granting agencies, are under the IRB's supervision. Research proposals fall into three categories of review: Exempt, Expedited Review and Full Review. The IRB Chair, or their designee, determines if research activities are exempt, found within the expedited categories of research, or require full committee review.

#### Exempt:

- i. In most cases, laboratory and field research that is undertaken by students as part of a course and has as its primary purpose the instruction of the student need *not* be submitted to the IRB. Details for class activities that do not require IRB review are specified in the *Policy on Course-Related Projects Involving Human Participants*. The proper conduct of such research shall be the responsibility of the course instructor. However, the instructor *may* forward student research proposals with questionable procedures to the IRB for review.
- ii. Research activities involving no more than minimal risk AND in which the only involvement of human subjects is found in one or more of the categories listed at 45 C.F.R. § 46.101 may be deemed exempt by the IRB Chair or their designee. The list of exempt categories of research may be found on the IRB website at <https://www.grinnell.edu/about/leadership/offices-services/research-ethics>.
- iii. Repetitions of approved research that involve insignificant variations in procedure need *not* be reviewed by the IRB. Changes to procedures involving the research participants (e.g., change in study population, changes in survey questions, changes in data collection procedures, etc.) must be submitted for review to the IRB for a determination that the proposed changes do not alter the IRB exemption determination

#### Expedited Review:

The following research activities may be reviewed through the Expedited Review Procedures (see 45 C.F.R. § 46.110:

- i. Research not utilizing vulnerable populations (e.g. minors, prisoners, pregnant women, mentally disabled persons, and those who are economically and educationally disadvantaged).
- ii. Minor changes in previously approved research during the period (of one year or less) for which IRB approval was authorized.
- iii. Research activities deemed by the chair to involve no more than minimal risk AND to involve only procedures listed in one or more of the categories for expedited review procedures found at 45 CFR 45 C.F.R §46.110(a). The list of expedited categories of research may be found on the IRB website at <https://www.grinnell.edu/about/leadership/committees/institutional-review-board>.

#### Full Review:

The following research activities shall be reviewed by the IRB at a convened meeting:

- i. Research activities deemed by the chair to involve more than minimal risk, to utilize vulnerable populations or to involve collection of information regarding sensitive aspects of the subject's behavior shall receive full review.
- ii. All research involving subjects who are not part of the college Community must be reviewed by the board, and the researcher must provide evidence to the board that the proposed research has been approved by the subjects or their representatives.

#### Modifications:

Modifications to research proposals (either procedures or participant populations) require the principle investigator to submit a modified research proposal form to the IRB for review. In these circumstances, the chair will determine whether the proposal receives expedited or full review.

#### Procedures

The chair will review all submitted research proposals and select each for review by either the Expedited Review or Full Review procedures, as described below. The chair shall not participate in the review of proposals in which the chair is the researcher. No IRB member may participate in the IRB's initial or continuing review of any project in which the member has a conflicting interest, except to provide information requested by the IRB. Research proposals in which the chair is the researcher shall be reviewed by another member of the IRB. In addition to approval by the IRB, a proposal may require the approval of the IACUC or the IBC if the research project includes use of animal subjects or biohazards in addition to human participants.

#### Expedited Review:

- a. Under expedited review, the research proposal will be reviewed by the IRB chair or by one or more experienced reviewers designated by the chair from among members of the IRB. The reviewer(s) may exercise all of the authorities of the IRB except that the reviewers may not disapprove the research. A research proposal may be disapproved only after review in accordance with the non-expedited review procedures set forth below.
- b. The IRB committee shall be informed of all research approved through the expedited review procedure.

#### Full Review:

- a. Under full review, copies of submitted materials will be sent to each member. Subsequently, a meeting of the IRB shall be convened to review the proposed research.
- b. The review of the proposed research shall only be undertaken at a meeting of the IRB at which a majority of the members of the IRB are present, including at least one member whose primary concerns are in nonscientific areas. **[45 C.F.R. § 46.108(b)]** If a majority of the members of the IRB vote to approve a research proposal, then it is approved.
- c. The IRB shall notify principal investigator in writing of its decision to approve or disapprove a proposed research activity, or of modifications required to secure IRB approval of the research activity. If the IRB decides to disapprove a research activity, it shall include in its written notification a statement of the reasons for its decision and give the investigator an opportunity to respond in person at a convened meeting or in writing.

#### Institutional Review:

Research that has been approved by the IRB may be subject to further appropriate review and approval or disapproval by officials of the institution. However, those officials may not approve the research if it has not been approved by the IRB.

#### C. Publicity

1. The IRB will publicize its existence and purpose through the Campus Memo and by notices to faculty at the beginning of each semester.
2. The IRB will send a notice to the local school system and to other relevant agencies to inform local officials that research originating from the College must have the approval of the IRB.

#### D. Report

The chair of the IRB will submit an annual written report of the IRB's activities to the Dean of the College.

## II. Institutional Animal Care and Use Committee

### A. Membership

The IACUC must have at least five members, including a Chair, one veterinarian with experience in laboratory animal science who has direct or delegated responsibility for activities involving animals at the College, one practicing scientist experienced in research involving animals, one non-scientist, and at least one member not affiliated with the College and not a member of the immediate family of a person who is affiliated with Grinnell College. Notwithstanding the foregoing, no more than three members shall be from the same administrative unit of the College. Members are appointed for three-year terms by the President of the College, except for the Chair who has a one-year term and veterinarian who has an indefinite term. Each member appointed by the President must be qualified through experience and training to assess the College's animal program, facilities and procedures. The Chair is nominated by the Faculty Organization Committee (FOC) to serve as chair, pending final approval by the President of the College. Individuals who are not members of the Faculty shall be nominated by the President. Any vacancies in the IACUC shall be filled as soon as practical after the vacancy occurs; however, the IACUC is prohibited from functioning without appointment of the 5 required members. The IACUC reports to an Institutional Official (IO) appointed by the President and who must be authorized to legally commit on behalf of the institution.

### B. Duties

1. To review all proposals for research involving vertebrate animals by faculty, staff and students. The review is for the purpose of ascertaining that the research project will be conducted in an ethical manner and that the proposed treatment of subjects does not violate applicable laws.

#### Ethical Standards

The IACUC Coordinator will keep on file current regulations concerning the treatment of animal subjects. Federal regulations for animal care and animal subjects are found in the *Guide for the Care and Use of Laboratory Animals* published by the National Institute of Health, as well as the *Animal Welfare Act and Regulations*. In addition, guidance in making ethical decisions may be obtained from the statement on ethical principles published by professional associations in the sciences and social sciences.

#### Research

- a. Research is defined as systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalized knowledge.
- b. Animal is defined as any live, vertebrate animal used or intended for use in research, research training, experimentation, or biological testing or for related purposes.

- c. All research proposals undertaken for student research, for faculty research, or for grants from the College, federal government, or other granting agencies, must be reviewed by the IACUC.

#### Minor Modifications:

Modifications to research proposals (either procedures or subject populations) require the principle investigator to submit a modified research proposal form to the IACUC for review.

#### Procedures

- a. The Chair forwards copies of all new and renewed proposals, and significant modifications of approved protocols to IACUC members. Generally, all new protocols are brought before a convened IACUC meeting for the approval vote. Renewals and significant modifications to previously approved protocols may be handled by a designate member review (DMR) process if all members agree to allow DMR. Otherwise, these also go to a convened IACUC meeting for review and approval. Changes in veterinary drugs and methods of euthanasia can be approved by a veterinary review process. Insignificant changes involving minor changes like most procedure and personnel deletions, and additions of trained personnel can be administratively approved by the Chair.
- b. If full IACUC review is requested by any IACUC member for a proposed activity, approval of that activity may be granted only after review at a convened meeting of a quorum of the IACUC, and with the approval vote of a majority of the quorum present. No member may participate in any IACUC review or approval of an activity in which that member has a conflicting interest, except to provide information requested by the IACUC, nor may a member who has a conflicting interest contribute to the constitution of a quorum. For all reviews, if a majority of the members of the IACUC vote to deny approval of a research proposal, then it is not approved and is not to be carried out. The chair of the IACUC is to convey the committee's reservations to the researcher.
- c. A research proposal may be re-submitted after being modified to satisfy the reservations of the IACUC.
- d. The chair shall not participate in the review of proposals in which the chair is the researcher. In such cases, another member of the IACUC selected by the IACUC will temporarily take over the chair's duties.
- e. Animal procedures may begin once the Chair signs the IACUC approved protocol.
- f. In addition to approval by the IACUC, a proposal may require the approval of the IBC or the IRB if the research project includes use of human participants or biohazards in addition to animal subjects.



## 2. Other IACUC duties include the following:

- a. The IACUC will review at least once every 6 months the Institution's program for humane care and use of animals, using Federal Animal Welfare Regulations (AWR) and the Guide for the Care and Use of Laboratory Animals (Guide) as a basis for evaluation.
- b. Inspect at least once every 6 months all of the Institution's animal facilities, including satellite facilities and animal surgical sites, using the Guide as a basis for evaluation.
- c. Prepare reports of the IACUC evaluations according to Public Health Service (PHS) Policy IV.B.3. and submit the reports to the Institutional Official.
- d. Review concerns involving the care and use of animals at the Institution.
- e. Make written recommendations to the Institutional Official regarding any aspect of the Institution's animal program, facilities, or personnel training.
- f. Conduct continuing review of each previously approved, ongoing activity covered by PHS Policy at appropriate intervals as determined by the IACUC, including a complete review at least once every 3 years according to PHS Policy IV.C.1.-5.
- g. Be authorized to suspend an activity involving animals according to PHS Policy IV.C.6.

### C. Publicity

The IACUC will publicize its existence and on the IACUC website on the Dean's page and by notices to faculty at the beginning of each semester.

### D. Report

The chair of the IACUC will submit an annual written report of the IACUC's activities and facility inspection to the Institutional Official (appointed by the President).

## **III. Institutional Biosafety Committee**

### A. Membership

The IBC shall be comprised of no fewer than five members who collectively have experience and expertise in recombinant DNA technology and infectious agents, and the capability to assess the safety of such activities and any potential risk to public health or the environment. In concurrence with the NIH guidelines, at least two members of the committee shall not be affiliated with Grinnell College (apart from membership on the IBC) and shall represent the interest of the community area with respect to the health and protection of the environment. Individuals who are not affiliated with the College shall be nominated by the College's Director of Community Enhancement and then approved by the Dean of the College. One member of the committee shall represent the laboratory

technical staff. Any faculty and staff members are nominated for three-year terms by the FOC and then approved by the Dean of the College. One faculty member is nominated by the FOC to serve as chair, pending final approval by the Dean. Any vacancies shall be filled as soon as practical after they occur.

## B. Duties

1. To review all proposals for research/courses involving the use of biohazards to assure compliance with the *NIH Guidelines For Research Involving Recombinant or Synthetic Nucleic Acid Molecules* and the CDC/NIH Biosafety in Microbiological and Biomedical Laboratories.

### Ethical Standards

The chair of the IBC will keep on file current regulations concerning the use of biohazards. Federal regulations for biohazards are found in the National Institute of Health's *Guidelines for Research Involving Recombinant or Synthetic Nucleic Acid Molecules*. In addition, guidance in making ethical decisions may be obtained from the statement on ethical principles published by professional associations in the sciences and social sciences.

### Research

- a. Research is defined as systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalized knowledge.
- b. Biohazards are defined as recombinant or synthetic nucleic acid molecules or infectious agents.
- c. All research proposals undertaken for student research, for faculty research, or for grants from the College, federal government, or other granting agencies, must be reviewed by the IBC. All proposals with biohazards will receive full review, except research proposal modifications:

#### Minor Modifications:

Repetitions of approved research involving insignificant variations in procedure need *not* be reviewed by the IBC.

#### Major Modifications:

Significant modifications to research proposals (either procedures or subject populations) require the principal investigator to submit a modification request form to the IBC for review.

### Procedures

When a registration form is submitted, review of the registration will be placed on the agenda for the next committee meeting, and a copy will be sent to all committee members via electronic mail. The chair will determine whether the proposed work may begin immediately or must wait for IBC approval, and will advise the PI accordingly. The chair will then designate an initial reviewer from the committee, to assess the protocol and identify any recommended changes prior to full committee review. If the chair is not present when a registration form is submitted, the IBC coordinator will act on the chair's behalf.

- a. Initial reviews communicate with the Principal Investigator of a protocol under review through the committee chair. Questions and requests for revisions or clarifications should be sent by the designated reviewer to the committee chair. The committee chair, on behalf of the committee, will ask the Principal Investigator to respond.
  - b. Once the initial reviewer is satisfied that the protocol is in compliance with NIH Guidelines, they should recommend approval of the protocol to the committee chair. After a protocol is reviewed by the full committee, and a majority of the members of the IBC vote to approve a research proposal, then it is approved. No member of the IBC may be involved in the review or approval of a project in which they have been or expect to be engaged or have a direct financial interest. The chair shall not participate in the review of proposals in which the chair is the researcher. In such cases, another member of the IBC selected by the IBC will temporarily take over the chair's duties.
  - c. If a majority of the members of the IBC vote to deny approval of a research proposal, then it is not approved and is not to be carried out. The chair of the committee is to convey the IBC's reservations to the researcher. A research proposal may be re-submitted after being modified to satisfy the reservations of the IBC.
  - d. In addition to approval by the IBC, a proposal may require the approval of the IRB or the IACUC if the research project includes use of human participants or animal subjects in addition to biohazards.
2. To conduct periodic self-studies of the effectiveness of College policy on biosafety and the implementation procedures, reporting the results to the Dean and recommending any needed revisions.
  3. To develop, maintain and advertise college procedures for safely transporting, handling and disposing of biohazards.
  4. To develop and maintain emergency plans for biohazards.

### C. Publicity

The IBC will publicize its existence and purpose on the IBC website on the Dean's page and by notices to faculty at the beginning of each academic year.

### D. Report

The chair of the IBC will submit an annual written report of the IBC's activities to the Dean of the College.

## IV. Office of Institutional Compliance

### A. Membership

At least one college administrator is to serve as the Officer of Institutional Compliance. This position is to be appointed by the President for a term of unspecified length.

### B. Duties

1. To provide consultation for members of Grinnell College review committees (IRB, IACUC, IBC) and other interested parties
2. To keep on file current regulations concerning research with human participants, research with animal subjects, research involving biohazards, research misconduct and conflict of interest.

### C. Publicity

The committee will publicize its existence and purpose through the Campus Memo and by notices to faculty at the beginning of each semester.

### D. Report

The Officer of Institutional Compliance will submit an annual written report of the activities of the Office of Institutional Compliance to the Dean of the College.

*Last Revised: October 5, 2016*

## APPENDIX VIII

### TOBACCO-FREE WORK ENVIRONMENT

Effective July 1, 2008 the [Iowa Smokefree Air Act](#) prohibits smoking anywhere on the entire Grinnell College campus (including CERA), College owned or leased vehicles and vehicles parked in College parking lots. The law imposes penalties for noncompliance on both the smoker and the institution in the event of a violation. Effective January 1, 2015, Grinnell College will treat e-cigarettes in the same way as traditional cigarettes, for the purposes of complying with the Iowa Smokefree Air Act of 2008.

Smoking (including cigarettes, hookah, e-cigarettes, marijuana, or any other combustibles) is prohibited on all campus property. Buildings, loggias, residence hall rooms, parking lots, vehicles parked in parking lots, vehicles owned or leased by Grinnell College, interior sidewalks, and athletic fields are included in the ban. Persons who choose to smoke on Grinnell's campus do so at their own risk.

Smoking is only permitted on perimeter sidewalks and streets (Park and East Streets, and 6th, 8th, and 10th Avenues).

Smokeless tobacco products, such as chewing tobacco, are prohibited in the workplace.

Employees wishing to discontinue using tobacco products are encouraged to speak with the Grinnell College Wellness Director. They can refer the individual to smoking cessation programs within the community or other state funded programs. It is likely, although not guaranteed, that a subsidized amount of funding for such programs is available to employees through the Grinnell College Wellness program.

Grinnell College offers the following resources for those who wish to quit tobacco use.

1. [Quitline Iowa](#)

Quitline Iowa is a toll-free, statewide smoking cessation telephone counseling hotline. Trained counselors provide callers with information about the health consequences of tobacco use, assistance in making an individualized quit plan, and ongoing support through optional follow-up calls.

The Quitline is staffed:

7 a.m.-midnight, Monday–Thursday  
7 a.m.-9 p.m., Friday  
7 p.m.-8 p.m., Saturday and Sunday

2. Smoking Cessation

The college offers the American Lung Association's Freedom From Smoking program to faculty, staff, and students through the campus Wellness Office, 641-269-3704.

## **APPENDIX IX**

### **MISCONDUCT IN SCIENTIFIC RESEARCH**

Grinnell College has policies and procedures for investigating, reporting, and adjudicating instances of alleged or apparent misconduct in research activities. Such misconduct includes fabrication, falsification, plagiarism, or other practices that seriously deviate from those that are commonly accepted within the scientific community for proposing, conducting or reporting research. It does not include honest error or honest difference in interpretations or judgments of data. Although these policies apply to instances of research misconduct in any discipline, they are compliant with the requirements of the Public Health Service Act. The policies and procedures are hosted on the College's Policy Server and are available on the website of the Office of Corporate, Foundation, and Government Relations; they are also on file in the Dean's Office.

Reports of possible research misconduct should be sent to the Dean of the College or the Chair of the Faculty, who will immediately notify the Research Integrity Officer. The Research Integrity Officer will initiate the procedures outlined in the College's research misconduct policy.

**APPENDIX X****TRUSTEE BY-LAWS, ARTICLE IX****ARTICLE IX -- THE FACULTY**

**Section 9.1 Membership.** The faculty of the College shall consist of the President of the College, the Vice President for Academic Affairs and Dean of the College, all members of the teaching staff specifically given that status by contract, and officers of the College given status as members of the faculty by the faculty.

**Section 9.2 Ranks.** The ranks of the faculty and their order in rank shall be Professor, Associate Professor, Assistant Professor, and Instructor. The terms Senior Lecturer and Lecturer, as a faculty member's title carrying no implication of relation to the tenure system, may from time to time be used, upon recommendation of the President of the College and of the Executive Council of the Faculty, to designate individuals employed either full- or part-time in teaching positions.

**Section 9.3 Powers and Duties of the Faculty.** The general government and direction of the College are lodged by law in the Board of Trustees. Subject to the reserved power of control by the Board and the provision of law, the faculty:

- A. Educational Policies.** Shall cooperate with the President of the College in setting the educational policies of the College, including the requirements for admission, the courses of study, the conditions for graduation, the rules for ascertaining proficiency of students and for the assignment of honors, and the times of general examination.
- B. Student Discipline.** Shall have the power to recommend to the President of the College fair and reasonable standards for student discipline, including suspension and expulsion.
- C. Degree Candidates.** Shall have the power to recommend to the President of the College and the Board of Trustees the candidates for degrees in course and for honorary degrees.
- D. Faculty Handbook.** In the exercise of its duties and powers, maintain a Faculty Handbook which includes the academic organization of the College, the nature of faculty meetings and committee structure, and procedures for:
  - a. appointments and review for promotion and tenure,
  - b. handling cases of dismissal for cause,
  - c. leaves of absence, death
  - d. outside employment,
  - e. changes in the College's educational programs
  - f. principles of academic freedom and faculty responsibilities
  - g. financial emergencies and changes in the College's educational program.

Changes to the Faculty Handbook are subject to the approval of the President, who shall communicate all proposed changes and the President's decision to the Board Chair. The proposed changes and the President's decision will be on the agenda of the next meeting of the Executive Committee. Absent any Executive Committee action to the contrary, the President's decision with regard to the proposed changes will be deemed ratified by the Executive Committee at the conclusion of the Executive Committee meeting. Notice of the ratification will be given by the Chair of the Board in writing to the President and Dean of the College. The Executive Committee may reject the proposed changes and the President's decision or refer them to the Board for further review and action. In the latter situation, the President's decision on the proposed changes shall be subject to the Board's review and action.



## **APPENDIX XI**

### **FACULTY ORGANIZATION COMMITTEE PROCEDURES GUIDING ELECTIONS**

#### **FALL 2011**

The procedures outlined below describe how the Faculty Organization Committee conducts faculty-wide and division-wide elections at Grinnell College for all elected positions other than those filled by electing a published slate of candidates. These guidelines supplement, but do not supplant, the regulations described in the Faculty Handbook. In any case of direct conflict, the regulations described in the Handbook take precedence.

This document was prepared by the FOC and ratified by the faculty by a majority vote.

This document may be amended by the faculty by a majority of those voting.

Nominations for faculty-wide elections are held by written ballot during a faculty meeting.

Faculty-wide elections are held by written or electronic ballot distributed to the entire faculty the day after a nomination in a faculty meeting. These ballots must be submitted by 4 pm (Central Time) on the Friday of the same week.

Division-wide elections are held by written ballot during a division meeting.

#### **Absentee Balloting:**

- For nominations, faculty members may submit an absentee nomination ballot to the Chair of the FOC by noon (Central Time) of the same day as the faculty meeting.
- For faculty-wide elections, faculty members desiring to cast an absentee ballot must notify the FOC Chair by 6 pm (Central Time) the day before ballots are distributed. The ballot for any faculty member who has requested an absentee ballot will be distributed electronically rather than by campus mail. Electronic ballots must be cast by the same deadline as the paper ballots.
- For division-wide elections, faculty members may submit an absentee ballot to the Chair of the FOC by 8 am (Central Time) of the same day as the division meeting.
- In order to cast an absentee ballot in hard-copy form, the ballot must be enclosed in a signed, sealed envelope and delivered to the Chair of the FOC.
- In order to cast an absentee ballot in electronic (e.g., email) form, the ballot must be submitted to the Chair of the FOC and must include the full name of the faculty member and the date of the submission of the ballot, which together will serve as an “electronic signature.” Alternatively, electronic ballots may also be electronically signed using a more verifiable mechanism, such as OpenPGP.
- The FOC will remove identifying information from all absentee ballots (whether hard-copy or electronic) and will include the absentee votes for all rounds of a nomination or in an election in which they are relevant.

Eligibility lists for nominations and elections

- At least a week prior to the elections described in section Part One.I.F in the faculty handbook, FOC will distribute electronically to all faculty the list of faculty members eligible for each election to be held.
- Faculty members may then ask to have their names removed.
- A final list of the candidates for the election will then be distributed with the agenda for the faculty meeting.

Prior to balloting during faculty or division meetings, the FOC will solicit recommendations and self-recommendations. It will be made clear at each election that these recommendations are not formal nominations or endorsements and that ballots may be cast for all faculty members listed as eligible.

## APPENDIX XII

### DRUG AND ALCOHOL USE

[Grinnell College](#) is required by the United States Government to comply with two separate laws concerning drugs: The “Drug-Free Workplace Act” of 1988 (Public Law 100-690) and the “Drug-Free Schools and Campuses Act” of 1989 (Public Law 101-226). The policies, statements, and practices included in this statement demonstrate Grinnell College’s compliance with both laws.

#### I. POLICY STATEMENT: ALCOHOL AND ILLICIT DRUGS

[Grinnell College](#) prohibits the unlawful manufacture, distribution, dispensation, possession or use of illicit drugs and alcohol by its employees in the workplace, on college property, or as part of any college-sponsored activity.

#### II. SANCTIONS FOR EMPLOYEES

Grinnell College will impose sanctions on employees who violate its Alcohol and Other Drugs Policy. The college will impose such sanctions consistently and in a manner that complies with applicable state, federal, and local laws. Sanctions for employees will be determined by the [Director of Human Resources](#). Possible sanctions include immediate dismissal, probation, suspension, reprimand, or requiring employees to participate in a drug abuse assistance or rehabilitation program. The college also retains the right to refer any violator of its Alcohol and Other Drugs Policy to applicable federal, state, or local authorities for criminal prosecution.

#### III. ALCOHOL AND DRUG HEALTH RISKS

**Inhalants:** such as solvents, aerosols, thinner, paint, gas and lighter fluid can lead to health risks such as:

Liver, nerve and brain damage; heart failure, respiratory arrest; coma; suffocation; death

**Narcotics:** such as heroin, morphine, codeine, and methadone can lead to health risks such as:

pulmonary edema, convulsions, respiratory arrest, coma, death

**Depressants:** such as alcohol, benzodiazepines, barbiturates, and chlorohydrins can lead to health risks such as: nausea, severe anxiety, agitation, hallucinations, tremors, shakes, delirium, convulsions, death

**Stimulants:** such as methylphenidate, cocaine, phenmetrazine, and amphetamines can lead to health risks such as:

convulsions, hypertension, coma, cardiac arrests, pulmonary edema, respiratory failure, death

**Hallucinogens:** such as marijuana, LSD, PDP, MDMA, mescaline, and psilocybin can lead to health risks such as:

paranoia, delusions, psychosis, hallucinations, convulsions, flashbacks, death

#### IV. ALCOHOL LAWS

Iowa state law states that it is unlawful for any person “to sell, give, or otherwise supply alcoholic liquor, wine, or beer to any person knowing or having reasonable cause to believe that person to be under the legal age, and a person or persons under legal age shall not individually or jointly have alcoholic liquor, wine or beer in their possession or control.” The law further states that “no person under legal age shall misrepresent the person’s age for the purpose of purchasing or attempting to purchase any alcoholic beverage, wine or beer from any licensee or permittee.” Penalties range from a simple misdemeanor to a serious misdemeanor. In the state of Iowa, legal drinking age is 21.

#### V. DRUG LAWS

Iowa state law stipulates that it is unlawful for any person not authorized by Chapter 204 of the state code “to manufacture, deliver, or possess with intent to manufacture or deliver a controlled (or counterfeit substance), or to act with, enter into a common scheme or design with, or conspire with one or more other persons to manufacture, deliver, or possess with intent to manufacture or deliver a controlled substance.” Penalties range from a simple misdemeanor to a felony.

#### VI. STATE, FEDERAL, AND LOCAL SANCTIONS

A number of different penalties may be imposed by the magistrate or other representatives of the civil judicial system. Penalties include criminal charges ranging from a simple misdemeanor to a felony. Sentencing may include one or more of the following: monetary fines, incarceration, and community service. Penalties may be different for person over 18 years of age or under 18 years of age. Persons under the age of 18 who are in violation of drug and alcohol laws may be turned over to juvenile authorities or will be dealt with through the court system. Persons over the age of 18 will be dealt with through the court system. Persons over 18 who are charged with the use or possession of illegal drugs are treated as adults. Fines, jail sentences, and community service are at the discretion of the magistrate or district court judge.

#### VII. EMPLOYEE ASSISTANCE

[Employee and Family Resources](#) is available at no cost to all regular and term employees and their family members for up to five sessions per issue, per year. The college’s group medical insurance provides treatment benefits for chemical dependency. Refer to your Summary Plan Description for details.

## **VIII. STUDENTS**

Details concerning student policies are found in the Grinnell College Student Handbook.

## APPENDIX XIII

### CHILD ABUSE REPORTING

#### I. Policy Foundation

Grinnell College Strives to protect the welfare of *children* who are on campus or who are participating in an off-campus program sponsored by the College.

Any employee who, in the scope of their employment responsibilities, *examines, attends, counsels* or *treats* a child is required to report *suspected physical* or *sexual abuse* of a child. Proof that abuse has occurred is not required in order to be obligated to report. This policy is intended to be broad, and any uncertainty about whether reporting is required should be resolved in favor of making a report.

An employee who has made a good faith report of physical or sexual child abuse or who has aided and assisted in the assessment of a child abuse report may expect that no retaliatory action, such as discharge, demotion, suspension or harassment, will be taken against him/her/hir for doing so.

##### A. Legal Acts

Iowa Code 261.9(1)(h)

##### B. Terms and Definitions

**Attend** is to care for; look after; to take charge of; to watch over.

**Child(ren)** refers to any person under the age of 18 years.

**Counsel** is to advise or instruct.

**Examine** is to observe, test, or investigate, in order to evaluate general health or determine a medical condition.

**Physical abuse** is any non-accidental physical injury acts or omissions that cause, or fail to prevent, physical injury to a child.

**Sexual abuse** is the commission of a sexual offense according to Iowa law, including rape, sexual assault, molestation, incest, indecent exposure, or exploitation of a child in a manner in which the child is used for gratification or sexual enjoyment by another person.

**Suspect** is to believe to be the case or to be probable.

**Treat** is to deal with (a medical condition, patient, etc.) in order to relieve or cure.

## II. Policy Body

### A. Who Must Report

Employees who, in the scope of their employment responsibilities, examine, attend, counsel, or treats a child must report physical or sexual child abuse when they see, know about, or reasonably suspect the physical or sexual abuse of a child. This includes most College employees, including, but not limited to, faculty, coaches, student employees, administrators and staff. If an employee is not sure whether they are required to report, they are encouraged to err on the side of caution and report. Proof that abuse has occurred is not required in order to be obligated to report.

This policy does not cover statutory mandatory reporters under Iowa Code 232.69 or others that are required reporters by professional ethics. Statutory mandatory reporters have additional responsibilities to report all forms of child abuse as defined in Iowa Code 232.68(2) to the Iowa Department of Human Services.

## III. Implementation

### A. Reporting Procedures

In the event of an emergency, **first call 911.**

Suspected abuse must be reported within *twenty-four hours* to both:

1. The Grinnell Police Department at 911 or 641-236-2670 AND
2. The Office of Campus Safety and Security at ext. 4600.

When reporting suspected child abuse, the employee will need to provide the following information to the best of their knowledge:

- Name of the alleged victim(s)
- Name of the alleged perpetrator(s)
- Time and date of the incident(s) being reported
- Location where the incident(s) occurred; and
- Any additional information supporting the allegation that misconduct has occurred.

### B. Employee Protections

The college will attempt to protect the identity of any employee who makes a good faith report of suspected physical or sexual abuse of a child.

If an employee feels that they are being retaliated against for making a good faith report of suspected physical or sexual abuse of a child or because they have aided and assisted in the assessment of a child abuse report, they must report this immediately to the Director of Human Resources.

## APPENDIX XIV

### GRINNELL COLLEGE POLICY, PROCEDURES, AND GUIDE TO PREVENTING, REPORTING, AND RESPONDING TO SEXUAL MISCONDUCT AND OTHER FORMS OF INTERPERSONAL VIOLENCE

(text of URL: [https://www.grinnell.edu/sites/default/files/docs/2018-10/Grinnell College Guide for Prohibited Conduct 09.24.2018 FINAL.pdf](https://www.grinnell.edu/sites/default/files/docs/2018-10/Grinnell%20College%20Guide%20for%20Prohibited%20Conduct%2009.24.2018%20FINAL.pdf))

#### **VIII. Prohibited Relationships by Persons in Authority (pg 22 of above linked policy)**

The College prohibits sexual or other intimate relationships between students and their employers, supervisors, professors, coaches, advisors, or other non- student College employees under all circumstances. Faculty, administrators, and others who educate, supervise, evaluate, employ, counsel, coach or otherwise guide students or who have actual or apparent authority over a student should understand the fundamentally asymmetrical nature of the relationship they have with students or subordinates.

Intimate or sexual relationships where there is differential in power or authority produce risks for every member of our community and they can compromise the integrity of the educational process. The unequal position of the parties presents an inherent element of risk and may raise sexual harassment concerns if one person in the relationship has the actual or apparent authority to supervise, evaluate, counsel, coach or otherwise make decisions or recommendations as to the other person in connection with his/her employment or education at the college. Sexual harassment occurs when an individual exploits the authority given to them by the College or otherwise compromises the boundary between personal and professional roles. Although a relationship between individuals of unequal position may not necessarily constitute sexual harassment, this policy seeks to minimize the risk of such.

Sexual relations between persons occupying asymmetrical positions of power, even when both consent, may raise suspicions that the person in authority has violated standards of professional conduct and potentially subject the person in authority to charges of sexual harassment. Because of the differential in power and authority, the freedom of subordinate students and employees to reject romantic sexual advances may be restricted. Even if a student or subordinate does not appear to object to participation in the relationship, this does not mean that the individual welcomes, or will continue to welcome, the relationship. When a relationship of this nature ends, an individual's frame of reference for whether or not the relationship was originally welcomed may change. Moreover, even when such relationships do not lead to harassment, they can have the appearance of impropriety and undermine the teaching and learning environment for all student and all faculty. For example, the objectivity of evaluations which occur in making recommendations or assigning grades, honors and fellowships may be called into question when a faculty member involved in those functions has or has had a sexual relationship with a student. Similarly, these relationships may impact third parties based on perceived or actual favoritism or preferential treatment based on the relationship.



Any individual may file a complaint alleging harassment and/or discrimination, including an aggrieved party outside the relationship affected by the perceived harassment or discrimination. Retaliation against any person(s) who report concerns about potentially non-consensual relationships is prohibited and constitutes a violation of this policy.

## **APPENDIX XV**

All faculty of the college are subject to the college's conflict of interest policy, as defined in the current Staff Handbook.

### **Conflict of Interest Policy**

Grinnell College has an obligation to demonstrate and document good governance in order to protect the integrity and credibility of the College and to maintain the trust and confidence of our constituents.

The purpose of the Grinnell College Conflict of Interest Policy is to address potential conflicts occurring when an employee is in a position to influence a college decision that may result in direct or indirect personal gain and to ensure the transparency of related party relationships. Grinnell College employees have an obligation to conduct college-related business transactions without actual or potential conflicts of interest. In accordance with this policy, employees shall take all necessary precautions to avoid any actual or potential conflicts of interest and to disclose any actual or potential conflicts that may exist.

A conflict of interest arises when an employee may benefit personally from dealings with an entity or person conducting business with the college, including indirect benefits such as to family members (1) or businesses with which the person is closely associated.

Examples of potential conflicts include but are not limited to employment with, membership on a board of directors of, or significant ownership interest in a company doing business with the College. This policy is in addition to the Conflict of Interest policy for federal grants and the Conflict of Interest policy for Trustees and Officers of the College. All employees with an actual or potential conflict of interest shall complete a Conflict of Interest Disclosure Statement at the earliest practicable time so that the conflict may be reviewed and resolved.

All statements should be forwarded to the Human Resources department. Disclosure statements will be reviewed by a committee consisting of a representative from Human Resources, Treasurer, and Dean's offices, respectively. The committee will determine any appropriate action that may be necessary including but not limited to annual disclosure or disqualification from participation in transactions creating the conflict.

Not all conflicts will be material enough to be of practicable importance or if material, upon full disclosure may not necessarily affect the College in an adverse way. In the interest of transparency, disclosure is still required.

Employees who are members of the Senior Staff will be required to complete a statement confirming any conflicts of interest or the lack thereof on an annual basis.

This policy will be reviewed every two years or as deemed necessary by the Treasurer's Office given a specific event or change in the college's environment. Any proposed changes to this policy will be submitted to the Audit and Assessment Committee of the Board of Trustees for approval.

(1) The definition of family member for the purposes of this policy includes spouse, domestic partner, ancestors, brothers and sisters, nephews and nieces, step-siblings or other step-relations, children, grandchildren, great grandchildren and spouses of brothers, sisters, children, grandchildren, and great grandchildren.