

Section: GENERAL INFORMATION
Subject: Performance Evaluation - Faculty
Number: HR 3226

I. Procedure Goals

- A. The Faculty Performance Appraisal procedure is designed to serve as a two-phased function which can best be treated as two separate processes. The processes can be defined as follows:
1. Performance Appraisal - A process designed to ascertain and verify the "Satisfactory" or "Unsatisfactory" performance of faculty members. This must be accomplished annually during probationary periods and at least once every three years thereafter.
 2. Professional Assessment - A process designed to aid faculty members in their professional growth and development. This is a continuous process.

II. Institutional Regulations

- A. Provosts, deans or immediate supervisors shall conduct the Faculty Performance Appraisal. Upon employment, the provost, dean or immediate supervisor shall advise the faculty member of the Faculty Performance Appraisal procedure and criteria to be used. Performance appraisals are to be documented on the College performance appraisal form according to the following schedule:

1. Full Status Faculty: Must have a minimum of one appraisal conference using the Faculty Performance Appraisal Instrument during each three year evaluation cycle.* During the last such conference, the provost/dean/supervisor must review the Faculty Performance Appraisal results with the faculty member and must include the background of the overall rating of "Satisfactory or Unsatisfactory."

*The tri-annual evaluation cycle shall be based on the alphabetical order of employees' last names. Employees shall be folded into the tri-annual cycle after they have completed their initial probationary annual cycles:

A-G	Due in FY20 and every 3 rd year thereafter
H-O	Due in FY18 and every 3 rd year thereafter
P-Z	Due in FY19 and every 3 rd year thereafter

2. Probationary Faculty: Will be appraised in an intensive and continuing fashion. Provosts/deans/supervisors will be responsible for conducting no fewer than two performance appraisal conferences before March 30 each contract year during the probationary period. By the end of the second conference, the provost/dean/supervisor must present and review the Faculty Performance Appraisal results with the faculty member and indicate a recommendation to retain or not to retain the employee.

- B. Annual performance evaluation forms for Faculty shall be due by March 31st.

II. Procedure

- A. In addition to the Faculty Performance Appraisal Instrument, sources may include:
1. Discussions with faculty member(s).
 2. Positive and/or negative comments by relevant third parties. Negative comments shall be investigated by the supervisor. The faculty member will be notified before such material is placed in his/her file. The faculty member may make a written response to any such material placed in his/her file.
 3. Classroom visits by the provost/dean/supervisor.
 4. Student evaluations may be required and used for any purpose with regard to a probationary employee. Student evaluations may be required but will only be used for improvement of instruction for a non-probationary faculty member.
 5. Relevant activities by faculty member (e.g., institution building, presentations, course syllabi, publications, professional associations).

- B. Both parties must sign the Faculty Performance Appraisal Instrument. This does not indicate employee agreement with the appraisal, but simply acknowledges awareness of the "Satisfactory" or "Unsatisfactory" rating. It will then be forwarded to the College's District Human Resources Office file.
- C. Nothing in this procedure precludes more frequent performance evaluations in the event supervisors deem them necessary.

III. Criteria Ratings

The criteria in the Faculty Performance Appraisal Instrument will be given a rating of one of three categories, defined as follows:

- A. **Performs Well:** Indicates the appraiser's judgment of performance on any given item to be at or above the expected level. This, of course, still leaves room for improvement of one's skills and performance.
- B. **Needs Improvement:** Indicates the appraiser's judgment that performance on an item is below expectations. The appraiser may choose to deal with this deficiency on an informal basis, or may initiate a remedial action plan to remedy the problem within a specified period of time. Both parties should agree upon the method and objectives of the plan. If no agreement can be reached, the appraiser shall impose a plan.
- C. **Not Applicable:** Indicates the appraiser's judgment that this item is not appropriate for a faculty member's performance review, e.g., counselor or librarian rather than a classroom teacher.

IV. Employee Overall Rating

- A. In addition to rating individual performance criteria, the appraiser must also rate the overall performance of a faculty member by March 30 as being:
 - 1. Satisfactory, or
 - 2. Unsatisfactory
- B. **Satisfactory Rating:** The provost/dean/supervisor and faculty member will discuss the latter's strengths and weaknesses, goals and plans for improvement, and related matters, both throughout the year and at the final appraisal meeting, on or before March 30. A provost/dean/supervisor could indicate "Needs Improvement" on some of the individual criteria items and still rate the employee's overall performance as "Satisfactory."

As long as the faculty member's overall job performance is judged satisfactory, he/she will be recommended for another contract with all raises specified by the Collective Bargaining Agreement.

- C. **Unsatisfactory Rating:** If the provost/dean/supervisor marks "Unsatisfactory" on the Faculty Performance Appraisal Instrument, it means that the faculty member is below College standards in overall performance. A rating of "Unsatisfactory" usually occurs only after informal resolution of problems has failed.
- D. Warning Status
 - 1. Upon awarding an "Unsatisfactory" rating, the administrator must place the faculty member on Warning Status and initiate a formal remediation plan, preferably with mutual agreement upon goals. If not, the administrator shall impose a plan.
 - 2. It is required that Warning Status Faculty be appraised with the same stringency as are probationary employees, i.e., in an intensive and continuing fashion. Provosts/deans/supervisors will be responsible for conducting no fewer than two formal performance appraisal conferences before March 30 each contract year. However, because of the serious nature of this status, the provost/dean/supervisor will determine the number of appraisals needed to remedy the problem(s). All related documentation must be forwarded to the College's District Human Resources file, with written notice to the faculty member. By the end of the final conference, the provost/dean/supervisor must review the Faculty Performance Appraisal results and forward a recommendation whether to rescind or continue the employee on Warning Status. If the faculty member is removed from Warning Status, the provost/dean/supervisor will notify the individual and the District Human Resources Office of the action.

3. The duration of Warning Status shall be limited to the date of March 15th in the subsequent year. The notice of Warning Status will be expunged from the employee's file two years after the notice has been rescinded.

V. Records and File System

- A. Recordkeeping is a necessary part of the evaluation process. It formally documents performance reviews. One official file will exist, the College Human Resources File.

This file will contain all formal evaluative records, such as Faculty Performance Appraisal results, Notices of Warning Status and documentation, internal and external recommendations, and records and represents the Official College file. When an administrator introduces any evaluation material to the College files, the affected faculty member must receive a written, dated notice of same.

- B. These records are accessible to appropriate supervisors and the employee, and are located in the College's District Human Resources Office

VI. Faculty Right to Due Process

- A. A faculty member may respond to any findings of the provost/dean/supervisor resulting from the annual or final summative evaluation.

- B. Due process may occur at either or both of the following levels:

1. Rebuttal: Performance Appraisal Instrument

The faculty member may rebut the findings of the provost/dean/supervisor resulting from the annual or final summative evaluation. Provision for written rebuttal is to be found on the Faculty Performance Appraisal Instrument, which is signed by both parties and forwarded to the College Human Resources file.

2. Administrative Appeal: Provost/Dean/Vice President

If the faculty member is placed on Warning Status and the provost/dean/supervisor cannot resolve the conflict, he/she may appeal to the Vice President, Academic Affairs.

- C. All pertinent documentation coming forth during the appeal process must be recorded in the College Human Resources file.

VII. Resolution of Remedial Action and Continuance of Probation

- A. One or more of the following actions must be taken prior to March 30 of each year:

1. Restoration of the judgment from "Unsatisfactory" to "Satisfactory" on a subsequent appraisal.
2. Deletion or continuance of remedial action plan and/or Warning Status into the next academic year.
3. Recommendation of continuance of contract for a Probationary Status Faculty employee.
4. Recommendation of termination of contract.

- B. Whichever administrative actions are taken, written notice will be forwarded to the College's District Human Resources file, with a copy available to the affected faculty member.

VIII. Chapter 279 of Iowa Code

Nothing in this article is intended to be in derogation of faculty members' rights under Chapter 279 of the Iowa Code.

APPROVED:



Executive Director, Human Resources

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