Iowa State University  Library
Faculty PostTenure Review

Policies and Procedures

Rev. May 2017

Approved by the Library Faculty

Approved by the Dean of Library Services
# Table of Contents

I. Introduction .............................................................................................................. 1  
II. Review, Timelines and Exemptions ...................................................................... 1  
   A. Review Timeline ............................................................................................... 1  
   B. Review Schedule ............................................................................................. 1  
   C. Review Exemptions ......................................................................................... 1  
III. Review Participants .............................................................................................. 2  
IV. PTR Committee Appointment ............................................................................. 2  
   A. Appointment Requirements and Criteria ....................................................... 2  
   B. Appointment Process ...................................................................................... 2  
V. PTR Process ........................................................................................................... 3  
   A. Notification ...................................................................................................... 3  
   B. PTR Commitment Appointment and Review Schedule ................................. 3  
   C. Faculty Member PTR Documentation ............................................................ 3  
   D. PTR Committee Preliminary PTR Report ...................................................... 3  
   E. Faculty Member Review of Preliminary PTR Report ..................................... 3  
   F. Final PTR Committee Report .......................................................................... 3  
   G. AD Cover Letter .............................................................................................. 3  
   H. PTR Conference .............................................................................................. 4  
   I. AD Final Report ................................................................................................ 4  
   J. Library Dean Actions ....................................................................................... 4  
VI. Faculty PTR Documentation .................................................................................. 4  
VII. Performance Standards and Review Outcomes ................................................. 5  
   A. Performance Standards .................................................................................. 5  
   B. Review Outcomes .......................................................................................... 5  
VIII. Provision of Resources ..................................................................................... 5  
IX. Confidentiality and Dissemination of Findings .................................................. 6  
X. Rights of Appeal ................................................................................................. 6  

ISU Library. Faculty Post Tenure Review – Policies and Procedures 5-15-17
I. Introduction

The intent of post tenure review (PTR) is to provide tenured faculty an opportunity to make a long-term appraisal of their accomplishments outside the bounds of either the annual evaluation or formal promotion and tenure review process. This peer review process addresses the quality of the faculty member’s performance in the areas consistent with the faculty member’s position responsibility statement (PRS) during the period of review.

The review includes an overall recommendation of the performance (meeting expectations or below expectations) and results in acknowledgement of contributions and suggestions for future development of the faculty member. A performance with an assessment of below expectations in an area that constitutes a low percentage of the PRS does not automatically result in an overall review of below expectations.

The results of the review may require expenditure of institutional resources for professional development or a change of professional direction.

All deliberations and assessment materials generated during the PTR process are confidential.

This policy is consistent with the Iowa State University Post Tenure Review Policy. It also follows recommendations set forth by the American Association of University Professors for post tenure reviews.

II. Review Timelines, Schedules, and Exemptions

A. Review Timeline

Post tenure reviews occur:

- At least once every seven years
- At the faculty member’s request (but at least 5 years from last review)
- During the year following two consecutive unsatisfactory annual reviews

B. Review Schedule

1. A PTR is scheduled by the Dean of Library Services (Dean) five to seven years after a faculty member has:
   - been hired with tenure,
   - been awarded tenure, or
   - undergone a prior post tenure review

2. The post tenure review process should take no longer than four months. It should be initiated between January 1 and August 1 and completed within the calendar year in which it began.

3. The start date will be mutually agreed upon by the PTR Committee, the Associate Dean (AD) and the faculty member being reviewed.

C. Review Exemptions

An exemption from a scheduled post tenure review is automatic if the faculty member:

- is being reviewed for a higher rank during the same year;
- is within one year of announced retirement;
- is on approved phased retirement; or
- holds the administrative position of associate dean or dean. These positions are reviewed under the administrative review process.

In rare circumstances, a faculty member may petition the Dean to postpone a scheduled post tenure review for reasons beyond those listed above (e.g., extended leave of absence or illness).
III. Review Participants

A. Library Faculty member under review

B. PTR Committee

C. AD of the faculty member under review
   1. Within the post tenure review process, the AD serves as the department chair.
   2. If the immediate (i.e., unit) supervisor is not the AD, the immediate supervisor is considered a review participant.
   3. If the immediate supervisor is the Dean or non-faculty AD, the Dean will appoint an associate dean to serve as the AD for the PTR process.

   Note: “Supervisor” is used below to refer to the immediate supervisor when not the AD.

D. Dean

IV. PTR Committee Appointment

A. Appointment Requirements and Criteria
   1. A PTR Committee is established for each faculty member undergoing post tenure review. The Dean appoints each committee, which includes three tenured library faculty members with two members identified by the faculty member and one member identified by the AD.
   2. Committee members are appointed based upon their relevant knowledge and/or experience in the general field and/or area of specialization of the faculty member under review.
   3. ADs, the Dean, and supervisor for the faculty member are not eligible to serve on PTR Committees.
   4. Appointment Goals:
      • Faculty members are, in so far as is possible, reviewed by peers of their choice
      • The composition of the PTR Committee is fair and balanced
      • The workload for faculty who are members of PTR Committees is as equitable as possible. Therefore, faculty members are normally not required to serve on more than two committees in any calendar year.

B. Appointment Process

   1. Library HR maintains an annual list of eligible tenured faculty members to serve on PTR Committees. In unusual circumstances, a tenured faculty member may have his or her name removed from the list of eligible faculty members for no more than one calendar year or from a specific PTR Committee based upon conflict of interest. Also at the outset of the PTR process the faculty member under review will be given the opportunity to request that a reviewer be excused based upon a conflict of interest.
   2. Then Library HR submits a specific panel of eligible tenured faculty members to the AD and faculty member. LHR creates a CyBox account for the faculty member under review.
   3. From the panel, the faculty member recommends three potential committee members and the AD recommends two potential committee members.
   4. The Dean, with the AD, and in consultation with the faculty member under review as necessary, appoints the PTR Committee and notifies all review participants and Library HR of the PTR committee membership; and internally posts the membership.
   5. The PTR Committee selects its own chair, and the chair notifies the other review participants and Library HR.
V. PTR Process

A. Notification
Library HR notifies the faculty member, supervisor, AD, and Dean of the upcoming scheduled post tenure review.

B. PTR Committee Appointment and Review Schedule
1. The Dean formally appoints each PTR Committee and notifies the review participants.
2. The Dean informs the PTR Committee and faculty member of the AD participating in the review if the
   AD is not the associate dean of the faculty member.
3. The PTR Committee, the AD, and the faculty member agree on a starting date for the review. The PTR
   Committee Chair notifies all participants and Library HR of the start date for the review.
4. The AD determines and posts the calendar in CyBox. The calendar includes the start date for the review
   and the schedule for all subsequent actions.

C. Faculty Member PTR Documentation
1. The faculty member prepares and submits the required PTR documentation electronically and notifies
   Library HR of final submittal.
2. The faculty member’s PTR documentation is maintained by Library HR for the duration of the review
   and is available to all review participants (PTR Committee, supervisor, AD and the Dean).
3. A confidential file for other review materials is maintained in Library HR for the duration of the
   review. The file is used by the PTR Committee, the supervisor, the AD, and the Dean during their
   respective review responsibilities.

D. Preliminary PTR Committee Report
1. The report prepared by the PTR Committee should include the following components:
   • Assessment of performance based upon the PRS
   • A performance rating ("meeting expectations," or "below expectations")
   • Recommendations
   • A signature page for the electronic signatures of the faculty member, the Unit Supervisor, the AD, and the
     Committee Chair
2. Delivery: The chair of the PTR committee sends the preliminary report to the faculty member and
   copies the rest of the PTR committee via email.

E. Faculty Member Report Review
The faculty member has five working days to comment in writing regarding any factual inaccuracies that can be
documented in the PTR documentation.

F. Final PTR Committee Report
The PTR Committee may revise the report and forwards a copy of the final report to the AD and Library HR.

G. AD Cover Letter
1. The AD and supervisor prepare a cover letter to the Dean indicating agreement with the outcome of
   the report or a detailed explanation if there is disagreement with the report findings. The letter is
   considered confidential and will not be shared with the entire PTR committee, only its chair, and the faculty
   member.
2. The AD submits the letter and committee report to the faculty member and posts it in CyBox. Only the
   faculty member, the Chair of the PTR committee, the supervisor, and the Dean have access to this part of
   the process.
H. PTR Conference
The AD holds a PTR conference with the faculty member, supervisor, and committee chair to discuss the report and draft an action plan if needed.

1. As a result of the conference, the AD may revise the cover letter.
2. The committee report is considered final when it is electronically signed and dated by the faculty member, supervisor, AD, and committee chair. The faculty member’s required signature reflects that the faculty member has participated in the conference and received the final report.
3. If the report includes a determination of “below expectations” rating for any PRS area, the AD, supervisor, faculty member, and committee chair will work to create a detailed action plan for performance improvement in the area(s) deemed “below expectation.” An action plan must be signed by all parties and include at least the following four parts:
   • Justification for the plan
   • Specific timetable for evaluation of acceptable progress on the plan
   • Description of possible consequences for not meeting expectations by the time of that evaluation
   • Indication of who is responsible for assessing the faculty member’s performance in accomplishing the action plan (the AD)

I. AD Final Report
By posting the documents in CyBox, the AD forwards to the Dean the final signed committee report with any action plan, and the cover letter if it has been revised after the PTR conference.

J. Dean’s Actions
The Dean will take the following actions regarding the post tenure review:
   • Review the final AD Final Report and recommendations submitted for consistency and thoroughness.
   • Provide feedback to the AD if there are areas that need improvement regarding thoroughness or consistency of the PTR processes or reports.

VI. Faculty PTR Documentation
The faculty member is responsible for electronically submitting the following required PTR documentation:
   • Current Vita, updated for the period of review
   • Position Responsibility Statement(s) operative during the period of review
   • Personal Statement

For complete guidelines, see ISU Library. Faculty Post Tenure Review - Documentation and Submission Guidelines

The PTR documentation is intended to cover the most significant materials in support of the review, and provide the faculty member with the opportunity to provide a full understanding and self-appraisal of his or her accomplishments for Scholarship, Research/Creative Activities, Professional Practice, Teaching, and Institutional Service.

Previous reports and AD cover letters are not included in the PTR documentation, nor are they made available to the PTR committee. Additional documentation may be requested if needed.
VII. Performance Standards and Review Outcomes

A. Performance Standards

1. The performance standard that results in a “meeting expectations” post tenure recommendation is whether the faculty member under review discharges conscientiously and with professional competence, the duties described in his or her PRS(s).

2. A faculty member whose professional competence has been rigorously established by the awarding of tenure is at all times entitled to a presumption of competence. Post tenure review is not a reappraisal of the faculty member’s fitness under the current tenure standards, which may have changed since awarding of tenure.

3. Post tenure review is not intended as a substitute for annual reviews and promotion actions, nor is it a substitute for faculty disciplinary or dismissal procedures outlined in the Iowa State University Faculty Handbook.

B. Review Outcomes

1. Meeting Expectations Review

A “meeting expectations” post tenure review recommendation may include suggestions for future development of the faculty member. A performance with an assessment of below expectations in an area that constitutes a low percentage of the PRS does not automatically result in an overall review of below expectations. However, if a “meeting expectations” post tenure review does include a determination of “below expectations” performance in any PRS area, then the faculty member will work with the AD, supervisor, and committee chair to develop a detailed action plan for performance improvement in those areas. All parties sign the action plan.

If agreement on the proposed action plan cannot be reached, the action plan will be negotiated following the procedures outlined for PRS Mediation in the ISU Faculty Handbook Section 3.4.4.

2. Below Expectations Review

A “below expectations” review includes specific recommendations for achieving an acceptable performance evaluation. The faculty member will work with the AD, supervisor, and committee chair to develop a detailed action plan for performance improvement in areas deemed below expectations. All parties sign the action plan.

If agreement on the proposed action plan cannot be reached, the action plan will be negotiated following the procedures outlined for PRS Mediation in the ISU Faculty Handbook Section 3.4.4.

Failure to have the performance improvement plan in place by the time of the next annual performance review may result in a charge of unacceptable performance as defined in the Faculty Conduct Policy (Section 7.2.2.5.1 of the Faculty Handbook).

VIII. Provision of Resources

Some recommendations for improvements in professional practice, teaching, research, or institutional service or in a future record of scholarship or for new professional directions may require additional resources. If so, resources should be specifically mentioned in the recommendations. If the Dean agrees with the recommended resources, there should be a good faith effort to provide these resources within a reasonable time. If the agreed upon resources are not provided, the faculty member will not be held responsible for a lack of improvement contingent on said resources during subsequent annual evaluations or the next post tenure review.
IX. Confidentiality and Dissemination of Findings

A. Deliberations and copies of assessment materials of PTR committees are privileged and are kept in strict confidence. Draft reports and committee members’ notes are treated as confidential material in the creation and discard process.

B. During the individual review, the PTR documentation is maintained by Library HR, as well as other confidential materials, and access is limited to the PTR Committee (during its review process), the supervisor, AD, and Dean.

C. At the conclusion of the post tenure review process, review materials are distributed as follows:
   1. The AD Final Report, letter of notification of the review, and letter announcing the PTR committee is kept in the individual personnel file in Library HR with access limited to the faculty member and the current supervisor, AD, and Dean
   2. Reports, confidential documentation, and all correspondence from the review process; the PTR Schedule; the faculty member’s PTR documentation are retained in Library HR’s confidential file.
   3. Library HR will forward the required post tenure review materials to the Office of the Senior Vice President and Provost.

X. Rights of Appeal

If the faculty member believes that he or she has been reviewed unfairly they may file an appeal using the mechanisms described in Faculty Handbook Section 9, Faculty Grievance Procedures.