Post Tenure Review Policies and Procedures

Iowa State University Library

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# Post Tenure Review Policies & Procedures

## Contents

I. Introduction 1

II. Review Timelines, Schedules, and Exemptions 1

III. Review Participants 2

IV. Post Tenure Review Committee Appointment 2

V. Post Tenure Review Process 3

VI. Faculty Post Tenure Review Portfolio 5

VII. Performance Standards and Review Outcomes 5

VIII. Provision of Resources 6

IX. Confidentiality and Dissemination of Findings 6

X. Rights of Appeal 7
I. Introduction

The intent of post tenure review 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. The review 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 (superior, meeting expectations or below expectations) and results in acknowledgement of contributions and suggestions for future development of the faculty member. A faculty member’s performance must be superior in all aspects of their PRS in order to receive a superior performance recommendation. A faculty member may receive a below expectations review if performance in any aspect of the PRS is below expectations.

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

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 post tenure review is scheduled by the Dean of the Library five to seven years after a faculty member has:

   - been hired with tenure;
   - been awarded tenure;
   - completed a prior post tenure review; or
   - completed a promotion review (e.g., to Full Professor,) regardless of the review outcome.

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

3. The start date will be mutually agreed upon by the Post Tenure Review (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 under promotion review during the same year;
- is within one year of announced retirement;
- is in 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. Post Tenure Review Committee
C. Associate Dean of the faculty member under review
   1. Within the post tenure review process, the associate dean serves as the department chair
   2. If the immediate supervisor is not the associate dean, the immediate supervisor is considered a review participant.
   3. If the immediate supervisor is the dean, the dean will appoint an associate dean to serve as the associate dean for the PTR process.
D. Dean of the Library

IV. Post Tenure Review Committee Appointment

A. A PTR Committee is established for each faculty member undergoing post tenure review. Each committee is appointed by the Dean and includes three tenured library faculty members with two members identified by the faculty member under review and one member identified by the AD.
B. 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 being reviewed.
C. ADs and the Dean are not eligible to serve on PTR Committees. If there is an immediate supervisor other than the AD or Dean for an individual review, the supervisor is not eligible to serve on the committee.
D. Appointment Process
   1. The Dean maintains an annual list of eligible tenured faculty members to serve on PTR committees and submits a specific panel of eligible tenured faculty members to the AD and faculty member under review. In unusual circumstances a tenured faculty member may petition the Dean to remove his/her name 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.
2. From the panel, the faculty member recommends three potential committee members and the AD recommends two potential committee members.

3. Appointment Goals:
   • Faculty members are, in so far as is possible, reviewed by peers of their choice
   • The composition of the 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.

4. The Dean, in consultation with the AD and the faculty member as necessary, appoints the PTR Committee and notifies all review participants 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 the Dean’s Office.

V. Post Tenure Review Process

A. The Dean notifies the faculty member, the immediate supervisor (if not the AD), and AD of the upcoming scheduled post tenure review.

B. The Dean formally appoints each PTR Committee and notifies the review participants.

C. The Dean informs the PTR Committee and candidate of the associate dean participating in the review if the associate dean is not the associate dean of the candidate.

D. The PTR Committee, the AD and the faculty member being reviewed agree on a starting date for the review. The PTR Committee Chair notifies all participants and the Dean’s Office of the start date for the review.

E. The AD determines and distributes the review calendar to the review participants. The calendar includes the start date for the review and the schedule for all subsequent actions.

F. The faculty member prepares and submits the required Post Tenure Review Portfolio to the Dean’s Office.

G. The Post Tenure Review Portfolio is maintained in the Dean’s Office for the duration of the review and is available to the faculty member and other review participants.

H. A confidential file for other review materials is maintained in the Dean’s Office for the duration of the review. The file is used by the PTR Committee, the supervisor (if not the AD), the AD and the Dean.

I. Throughout the remainder of the PTR process, all reports prepared by the PTR Committee, the immediate supervisor (if applicable), and the associate dean should include the following components:
   • Assessment of performance based upon the PRS
   • A performance rating ("superior," "meeting expectations," or "below expectations")
   • Recommendations

J. The PTR Committee obtains input from other library faculty and staff colleagues as appropriate, but does not request external letters of assessment; reviews all documentation; writes a confidential summary report; and forwards copies of its report to the AD and Dean.
K. If the immediate supervisor is not the AD, the supervisor submits a confidential report to the AD. During this review process, the supervisor may obtain additional input as appropriate.

L. The AD prepares a preliminary draft PTR report and proposed professional goals for the next three to seven years. This preliminary draft report is based upon the faculty member’s post tenure review portfolio, the Post Tenure Review Committee’s report, a supervisor’s report (if not the AD or Dean), additional input as appropriate, and his or her assessment.

M. The AD reviews the preliminary draft report with the Dean and revises it as appropriate.

N. The AD forwards the draft report to the supervisor (if not the AD), and the faculty member who reviews it for factual accuracy. The faculty member has five working days to submit any comments/corrections in writing to the AD. The AD may make revisions to the draft report.

O. The AD submits the report to the faculty member with a copy to the supervisor (if not the AD) and the Dean.

P. The AD holds a PTR conference with the faculty member and the supervisor (if not the AD) to discuss the report.

   1. At the request of the faculty member or the AD, the AD asks the PTR Committee Chair to participate in the conference. If the PTR Committee Chair participates in the conference, the AD provides the chair with the report prior to the conference.

   2. Following the conference, the faculty member has the right to comment in writing on the report within five working days, and to request the AD to reconsider any part of the report.

   3. As a result of the conference and any subsequent written comments that the faculty member may have submitted, the AD may make revisions to the report.

   4. The report is considered final when it is signed and dated by the faculty member and the AD. The faculty member’s required signature reflects that the faculty member has participated in the conference and received the final report.

   5. If the report includes a determination of “below expectations” rating for any PRS area, the AD, the faculty member, and the PTR Committee Chair will work to create a detailed action plan for performance improvement. An action plan must include at least the following three 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.

Q. The AD submits the final report with any action plan to the Dean with copies to the faculty member and the supervisor (if not the AD).

R. The Dean will take the following actions regarding the post tenure review:

      • Review post tenure review reports and recommendations submitted for consistency and thoroughness.
      • Accept or reject recommendations for salary increases. If the Dean rejects a recommendation for a salary increase, the reasons for rejection must be sent in writing to the faculty member and copied to the AD and the PTR Committee Chair.
      • Forward requested post tenure review materials to the Office of the Executive Vice President and Provost.
VI. Post Tenure Review Portfolio

The faculty member is responsible for submitting a Post Tenure Review Portfolio which is intended to document the most significant materials in support of the review. The portfolio provides the candidate with the opportunity to provide a full understanding and self-appraisal of his or her accomplishments and essential documentation for Scholarship, Research/Creative Activities, Professional Practice, Teaching and Institutional Service. Key portfolio components include the current vita, faculty position responsibility statement(s), and the Faculty Portfolio Summary. If the faculty member has undergone a previous post tenure review, a copy of that report is also included in the portfolio. Additional documentation may be requested if needed.

See ISU Library. Faculty Portfolio Guidelines – Post Tenure Review for guidance on building the portfolio and its content.

VII. Performance Standards and Review Outcomes

A. 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 position responsibility statement.

B. 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.

C. 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.

D. Review Outcomes

1. Superior Review
   To receive a “superior” post tenure review recommendation, performance must be superior in all aspects of the PRS. Regardless of current rank, a “superior” post-tenure review will still include recommendations for future development.

   a. Professor
      For a faculty member holding the rank of professor, a "superior" post tenure review is accompanied by a recommendation for a salary increase of a fixed amount determined annually by the university administration. This increase is separate from, and in addition to, any annual merit increase.

   b. Associate or Assistant Professor
      For a faculty member holding the rank of associate or assistant professor, a “superior” post tenure review includes encouragement to undergo a future promotion review.

2. Meeting Expectations Review
   A “meeting expectations” post tenure review includes recommendations for achieving a superior performance evaluation. If a “meeting expectations” post tenure review includes a determination of
“below expectations” performance in any PRS area, then the faculty member will work with the AD and PTR Committee Chair to develop a detailed action plan for performance improvement in those areas. The action plan will be signed by all three parties.

If agreement on the proposed action plan cannot be reached, the action plan will be negotiated following the procedures outlined in the *ISU Faculty Handbook* Section 5.5.5.1. PRS Mediation Guidelines.

3. **Below Expectations Review**
   To receive a "below expectations" post-tenure review, performance in any aspect of the PRS is below expectations. A “below expectation” review includes specific recommendations for achieving an acceptable performance evaluation. The faculty member will work with the AD and PTR Committee Chair to develop a detailed action plan for performance improvement in areas deemed below expectations. The action plan will be signed by all three parties.

   If agreement on the proposed action plan cannot be reached, the action plan will be negotiated following the procedures outlined in the *ISU Faculty Handbook* Section 5.5.5.1. PRS Mediation Guidelines.

   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 post tenure review committees are privileged and will be 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 faculty post tenure review portfolio is housed in the Dean’s Office and access is limited to the review participants listed in Section III above. All other confidential materials are housed in a confidential file in the Dean’s Office and are limited to the PTR Committee (during its review process), the supervisor (if not the AD), the AD and the Dean.
C. At the conclusion of the post tenure review process, review materials are distributed as follows:

1. The final report, letter of notification of the review, and letter announcing the PTR committee is kept in the individual personnel file in the Dean's Office with access is limited to the faculty member, the current supervisor (if not the AD), the current AD, and the Dean.

2. The Post Tenure Review Portfolio submitted by the faculty member is returned to the faculty member at the conclusion of the review. Copies may be made by the Dean's Office staff to satisfy recordkeeping requirements.

3. Reports, confidential documentation, and all correspondence from the review process; the PTR Schedule; the Faculty Portfolio Summary; and the Faculty Vita are retained in the Dean's confidential file.

4. Forward requested post tenure review materials to the Office of the Executive Vice President and Provost.

X. Rights of Appeal

If the faculty member believes that he or she has been reviewed unfairly, the faculty member has the right to appeal within the university’s faculty appeal process.