

Post-Tenure Review Implementation Guidelines

Office of the Senior Vice President and Provost
Iowa State University

Overview

These Post-Tenure Review Implementation Guidelines have been developed by the Office of the Senior Vice President and Provost to assist departments and colleges with the logistics of the post-tenure review process in accordance with the Post-Tenure Review Policy. Faculty, department chairs, and deans are responsible for familiarizing themselves with the full text of the policy (FH 5.3.4).

The Post-Tenure Review Policy (*Faculty Handbook* 5.3.4) states that “faculty in each department are charged with developing and implementing a plan for peer review of each tenured faculty member in the unit.” This post-tenure review is a peer-review process meant to assess the quality of the faculty member's performance in the areas of teaching, research/creative activities, extension/professional practice, and institutional service as indicated in the faculty member's position responsibility statement (PRS) in effect during the period of the review. This review must include an overall assessment of the faculty member's performance: **meeting expectations** or **below expectations**. In addition, the review must result in acknowledgment of the faculty member's contributions and may provide suggestions for future development.

Each department must ensure that its post-tenure-review policy clearly designates the following components: (1) The participants in the review process; (2) review procedures and timelines; (3) materials to be reviewed by the departmental committee; and (4) mechanisms for the faculty member to respond to the review. With regard to materials, all faculty are required to submit at a minimum all Position Responsibility Statements relevant during the period under review and a CV or other materials highlighting accomplishments during the post-tenure review period. The review period shall cover the period since the last post tenure review, but no more than the last 7 years.

The post-tenure review process is a peer-review process and does not replace the faculty member's annual performance evaluation conducted by his/her department chair. Every faculty member should receive an annual performance evaluation by his/her department chair regardless of other peer-reviews underway, e.g., preliminary review, promotion and tenure review, post-tenure review, etc.

Frequency

All tenured faculty members must undergo post-tenure review at least every seven years. At the faculty member's request it can be scheduled earlier, but no fewer than five years from the last review. If a faculty member receives an unsatisfactory annual performance review in two consecutive years, a post-tenure review will be required during the following academic year (see *Faculty Handbook* 5.3.4.1).

The policy exempts the following tenured faculty from their scheduled post-tenure review in the following circumstances: 1) they are being reviewed for promotion to a higher rank that same year; 2) they are within one year of announced retirement or are on phased retirement, or 3) they are faculty members who serve as department chair or whose title contains the term

president, senior vice president and provost, or dean. In order to qualify for the exemption under (2), the department must have approved the retirement plan.

Outcomes

In most post tenure review cases, faculty are found to be *meeting expectations* for their position. However, in some cases a faculty member may be found to be performing *below expectations*. In these cases an action plan is necessary. In some cases, the review committee may determine that the faculty member is working *below expectations* overall. In other cases, the faculty member may be deemed to be *meeting expectations* overall, but may have an area of the PRS in which his/her performance is deficient and below expectations. Whenever there is a deficiency in performance, an action plan will be developed by the department chair, in collaboration with the review committee chair and the faculty member. The action plan must include the following three parts: 1) a justification for the plan; 2) a specific timetable for evaluation of acceptable progress on the plan; and 3) a description of possible consequences for not meeting expectations by the stipulated timeline.

If agreement on the proposed action plan cannot be reached, the procedures for PRS mediation (*Faculty Handbook* 3.4.4) will be utilized to negotiate an agreement. In the rare case that an agreed upon performance improvement plan is not in place by the time of the faculty member's next annual performance evaluation, the faculty member may face a charge of unacceptable performance as defined in the *Faculty Conduct Policy* (*Faculty Handbook* 7.2.2.5.1).

Process

As outlined in the policy, post-tenure review is a peer-review process. The following addresses the steps involved at each administrative level.

Departmental level

Once the departmental committee completes its review of a faculty member, it submits its report to the department chair who reviews the report and discusses any questions with the committee chair. The department chair will then discuss the review and recommendations with the faculty member (*Faculty Handbook* 5.3.4.3). Should an action plan be recommended, the department chair will work with the faculty member and the committee chair to develop the plan. For each faculty member who undergoes post-tenure review, the department chair will forward the post-tenure review materials (PRS, CV or other materials highlighting accomplishments during the post-tenure review period, and the review committee report) to the dean **by the deadline established in the college**. For each case, the chair will include a cover letter to the dean indicating agreement with the outcome of the report or an explanation if he/she disagrees with the review committee report. If there is disagreement, the chair will communicate his/her rationale to the review committee and the faculty member.

College level

The dean will review all post-tenure review materials and recommendations from his/her college for consistency and thoroughness (*Faculty Handbook* 5.3.4.4). The dean will forward the post-tenure review materials (PRS, CV or other materials highlighting accomplishments during the post-tenure review period, and review committee report) to the Office of the Senior Vice President and Provost. **Post-tenure review materials must reach the Office of the Senior Vice President and Provost by April 1.**

Senior Vice President and Provost level

The provost will review the submitted post-tenure review reports and recommendations for consistency and thoroughness.

Questions regarding implementation of the Post-Tenure Review policy may be directed to Dawn Bratsch-Prince, Associate Provost for Faculty, deprince@iastate.edu or 294-6410.

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