

The University of Iowa and Graduate College Policies on  
(approved 11/30/12)

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### **Annual Review of Probationary Tenure-Track, Tenured, and Clinical-Track Faculty**

A notification memo from the Office of the Provost is received annually in November. Upon receipt of the nomination memo, the Graduate College Dean's Office will forward it to the DEO in each of its appointing units (SLIS, URP, POROI, CFB).

Annual reviews are due in the Office of the Provost each year in early April (the due date is included in the November notification memo). Annual reviews must be completed and will be used to determine annual salary adjustments.

*Effective January 2008, printed copies of the annual review forms will no longer be sent to colleges/departments. Instead they may be accessed through the HR Transaction System.*

#### **Probationary Tenure-Track Faculty**

The policy regarding review of probationary tenure track faculty is outlined in the University's Operation Manual: <http://www.uiowa.edu/~our/opmanual/iii/10.htm#101> and in the Faculty Handbook: <http://provost.uiowa.edu/faculty-handbook>.

#### **New Probationary Tenure-Track and Clinical Track Faculty this Year**

A review is expected for all (non-tenured) tenure-track or clinical track faculty, including those new to the faculty each year. Statements about new faculty members may have to be tentative, but all concerned should be alerted to the necessity of the annual review and the criteria that are applied. This is an excellent opportunity to review the faculty member's goals and mentoring plan for her/his probationary period. Reviews for new faculty should not be conducted in the fall semester, but instead should be conducted as late as possible in the spring semester (consistent with the deadline stated above) to provide the maximum information for review. For guidance in conducting probationary reviews, see <http://provost.uiowa.edu/annual-review-probationary-and-non-tenure-track-faculty>

#### **Tenured Faculty**

The policy regarding annual reviews of tenured faculty is outlined in the University's Operations Manual: <http://www.uiowa.edu/~our/opmanual/iii/10.htm#101> (approved by Faculty Senate 3/29/11). Annual reviews of tenured faculty are required to assure that the faculty member is meeting his/her responsibility to strengthen their university citizenship through their work in education, research and service.

The main purpose of the annual review is to be evaluative, but it may also be formative and developmental. An annual performance review of all tenured faculty members is conducted by the DEO as part of the salary-setting process. Annual review of tenured faculty shall include an evaluation of research/scholarship, teaching, and service according to the expected standard of performance for the faculty's members' unit. As part of this review, each faculty member must make available to the DEO materials specified in the statement of the department's review process (e.g., vitae, teaching evaluations, etc.).

If, as a result of an annual review, the DEO concludes that there are significant deficiencies related to reaching, research, or service, the DEO shall provide written notifications of these conclusions to the faculty member being reviewed, and the faculty member will be given an opportunity to respond in writing. The final report and the faculty member's response will be sent to the dean and will be kept with the faculty member's personnel records.

Faculty members being reviewed by their department for the special purpose of promotion may be exempted from this annual faculty review requirement.

### **Policy Governing Annual Reviews**

The following University policy, adopted upon recommendation of the Faculty Senate (originally for the tenure-track), is to be followed in conducting annual evaluations of all clinical-track, tenure track probationary faculty and tenured faculty:

- a. The annual review of probationary faculty should be as complete and detailed as possible in order to provide sufficient feedback and guidance to the faculty member being reviewed.
- b. Upon completion of the annual evaluation process, the probationary faculty member should be informed of the results of the evaluation in one or both of the following ways.
  1. Receive a copy of any written statement sent forward by the unit executive officer to the Provost or have a scheduled conference with that officer.
  2. If a review committee is involved, receive a copy of a written statement from the committee or have a scheduled conference with the committee.
- c. Every probationary faculty member should be provided, upon request, with some form of written evaluation by the peer group and/or the unit executive officer.
- d. Annual review of tenured faculty shall include an evaluation of research/scholarship, teaching and service. The faculty member shall submit the necessary documents (see below) to the DEO to permit adequate evidence of annual performance.
- e. In 2007-08, the University of Iowa initiated the completion of the annual review form via HR workflow. In order to accommodate the above policy through workflow, the following statement must be added to the evaluation report written by the review committee (and the DEO's written statement, if applicable) and signed by the faculty.\*

I have been informed of the results of this review and given the opportunity to respond

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Faculty Signature

- f. Probationary and tenured faculty members should be informed of their right to reply in writing to their annual review.

All such replies automatically become a part of the review and should be attached along with the written evaluation.

The evaluation (and response from the faculty, if any) is then submitted to the DEO who submits it electronically to the Dean.

### **Materials to be provided for the Annual Review**

Each faculty member will be asked by their Departmental Executive Officer (DEO) to prepare a statement consisting of a self-evaluation of his or her teaching, research, and service during the past academic year (or the period since the last review).

A current vita should be attached, along with appropriate supporting materials. Supporting materials should include:

- Copies of syllabi, assignments, reading lists and other materials for classes taught during the year;
- Student evaluations of each class;
- Papers submitted for publication or published during the year;

- And other pieces of research;
- Papers in progress, evidence of service activities, or other materials, may be included if the candidate wishes

### **Departmental Review Committee**

The DEO will appoint an internal departmental review committee for each faculty member being reviewed, and inform him/her of its composition. For annual reviews, this review committee will consist of at least two members, and preferably three. If the department/program does not have two eligible faculty to serve on this committee, faculty from outside the program will be asked to serve by the Dean of the Graduate College upon the recommendation of the DEO.

### **Completion of the Evaluation Report**

- 1) The review committee will prepare the required written evaluation of the faculty member. Listed below is an outline of the categories that the evaluation report should include.

- a. Description of the evaluation process and who participated in the evaluation?

How was the information collected? How was the evaluation carried out?

How were the results of the evaluation communicated to the faculty member?

- b. If there are associated secondary/tertiary appointments, evidence or description of participation in the review by those departments must be provided and signatures obtained.

- c. Evaluation of teaching, including student advising and thesis direction if appropriate

Peer teaching evaluation of all clinical and tenure-track faculty should occur at a minimum of once each year. The number of required peer teaching evaluations, if more than once/year (i.e. once per course or once per semester, etc.), is determined by the department.

- d. Evaluation of scholarly and/or new evaluation of professional productivity (if applicable)

- e. Evaluation of clinical service (clinical-track only)

- f. Evaluation of professional service contributions:

- Within department, college or university
- For professional organizations or other agencies or groups
- To the state of Iowa

The review will follow the steps and timetable suggested below. The following timetable may be adjusted with the consensus of the faculty member, the DEO, and the Dean of the Graduate College.

<b>2<sup>nd</sup> Friday of January</b>	Faculty member submits statement of performance and supporting materials to the departmental review committee.
<b>4<sup>th</sup> Friday of January</b>	The departmental review committee convenes to consider the statement of performance, vita, and supporting materials, including peer classroom evaluation reports and student evaluations.
<b>2<sup>nd</sup> Friday of February</b>	The review committee drafts a preliminary evaluation report and submits it to the faculty member.
<b>3<sup>rd</sup> Friday of February</b>	Faculty member reviews the preliminary report, corrects any factual errors, and returns it to the review committee
<b>4<sup>th</sup> Friday of February</b>	The review committee prepares a final evaluation report which <b>includes the statement to be signed by the faculty member that s/he has been informed of the results of the review and given the opportunity to respond</b> (see statement at bottom of page 1*). This evaluation is then submitted to the faculty member.
<b>1<sup>st</sup> Friday of March</b>	Faculty member reviews the final evaluation report, signs the statement indicating s/he has been informed of the results of the review, and returns the report to the review committee. If desired, the faculty member also submits a response to the review committee. These documents are the forwarded to the DEO.
<b>3<sup>rd</sup> Friday of March</b>  <i>(If dates are adjusted, this step must still occur no later than 5 working days prior to the due date in November memo from the Provost)</i>	DEO reviews the review committee's final evaluation report, which has been signed by the faculty member as noted above, and any responses from the faculty member. If desired, the DEO also prepares a written recommendation and rationale to the Dean of the Graduate College. Copies of the faculty member's CV, a copy of the signed review committee's report, any response from the faculty member, and the DEO letter if applicable, are <b>then scanned into PDF and electronically submitted to the Dean of the Graduate College.</b>
<b>1<sup>st</sup> Friday of April</b>  <i>(or no later than five working days prior to the due date in November memo from the Provost)</i>	Dean of the Graduate College reviews all materials, attaches all required documentation to the Annual Review form located in the HR Transaction system, completes the Annual Review form with his/her recommendation and submits it through workflow. Once submitted via workflow by the Dean, it will be routed via workflow to the DEO and then to the Provost for final approval.

### **Contract Renewal**

Contract renewal typically is considered in the third year of appointment. At that time a reappointment review is performed rather than an annual review. (See **Third Year Review Guidelines** found at the following URL <http://www.grad.uiowa.edu/facstaff/graduate-college-deos/faculty-reviews> )

**A current CV must be attached to the Annual Review form in the HR Transaction system with all reappointments, but is not required for Annual Reviews.**

**Faculty being reviews for Promotion this year**

Completion of the **annual review form** is not required for faculty who are being reviewed for promotion. For the Graduate College's Promotion and Tenure Procedures, see <http://www.grad.uiowa.edu/facstaff/graduate-college-deos/promotion-and-tenure>

**Non-renewal**

As a reminder, **the annual review form does not constitute notice of non-renewal.** Such written notice must be approved by the Office of the Provost prior to notifying the faculty member.

Notice of Non-renewal: See "Non-renewal of Probationary Academic Appointments" in section III 12.2 of the *Operations Manual* (<http://www.uiowa.edu/~our/opmanual/iii/12#122>) and "Clinical Faculty" in section III 10./9h (<http://www.uiowa.edu/~our/opmanual/iii/10.htm#109>).

November 14, 2008

Page 4