

Third-Year Review of Probationary Tenure-Track Faculty

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

As with annual reviews, third year reviews are due in the Office of the Provost each year in early April (the due date is included in the November notification memo).

Effective January 2008, printed copies of the annual review forms (also used for the third year review) 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/fachandbk> with specific information concerning the third-year review found at: <http://provost.uiowa.edu/faculty/facappt/evaluation/thirdyear.htm>

Policy Governing Third-Year Review

An annual review is expected for all (non-tenured) tenure track faculty, with a full-scale review taking place at the end of the third-year of appointment. ***The Graduate College considers the third-year review as thorough as the review for promotion and tenure with the exclusion of external reviewers*** (for the Graduate College's Promotion and Tenure Procedures, see <http://www.grad.uiowa.edu/FacultyStaff/GCPromoTenure0705.pdf>).

The third-year review:

- covers the entire time since the faculty member's initial appointment;
- should take into account the faculty member's proven teaching effectiveness and research productivity and potential;
- should include an evaluation of departmental, collegiate, and University educational goals and include a determination of the likely role of the faculty member in achieving such goals.

If the candidate holds a joint appointment, the review committee should have access to the original agreement between the departments of the jointly appointing units and to any revisions of that agreement. If the joint appointment is greater than 0% in another department/ college, the structure of the review and subsequent vote will be determined as in the Collegiate/University procedures (see the Graduate College Promotion and Tenure Procedures, Appendix E).

***At different stages of the review as noted in the timeline below, the following statement and the faculty member's signature acknowledging that s/he has been informed of the results is required.**

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

Faculty signature

Faculty members also should be informed of their right to reply in writing to their review. All such replies automatically become a part of the review and should be attached along with the written evaluation.

Policy for Completion of the Third-Year Review

The DEO creates a timeline for the review that allows the process to be completed, including the submission of the candidate's response to the review report by the end of March. The timeline may be adjusted with the consensus of the faculty member, the DEO and the Dean of the Graduate College. The timeline suggested below is provided as a guide, however, due to the comprehensiveness of this review, the process may need to start earlier.

Suggested Timeline for Third Year Review:

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| Mid-November (after receipt of memo from the Provost Office) | The DEO and the faculty member meet (a) to review the third-year review process, (b) to go over the required contents of the dossier, and (c) to agree upon the timetable |
| Third-Year Review Dossier | |
| By 2nd Friday of January | Faculty member submits his/her third-year review dossier that contains the following: (from GC Promotion and Tenure Procedures, page 7-10) |
| <p>A current CV containing the following:</p> <p>1) A record of the candidate's <u>educational and professional history</u>, including at least the following sections, preferably in the order listed:</p> <ul style="list-style-type: none">a) a list of institutions of higher education attended, preferably from most to least recent, indicating for each one the name of the institution, dates attended, field of study, degree obtained, and date the degree was awarded;b) a list of professional and academic positions held, preferably from most to least recent, indicating for each one the title of the position, the dates of service, and the location or institution at which the position was held; andc) a list of honors, awards, recognitions, and outstanding achievements, preferably from most to least recent. <p>2) A record of the candidate's <u>teaching at The University of Iowa</u>, including:</p> <ul style="list-style-type: none">a) the candidate's personal statement on teaching, consisting of a summary and explanation—normally not to exceed three pages—of the candidate's accomplishments and future plans concerning teaching, and comments on these accomplishments and plans and on other items included in the dossier related to teaching;b) a list of the candidate's teaching assignments on a semester-by-semester basis, preferably from most to least recent;c) a list of graduate students, fellows, or other postdoctoral students supervised, including each student's name, degree objective, and first post-graduate position;d) a list of residents for whom the faculty member has provided substantial and prolonged supervision throughout all or most of their training program, including each student's name and first post-residency position;e) a list of other contributions to instructional programs;f) copies of course materials, including syllabi, instructional Web pages, computer laboratory materials, and so forth;g) and, as an appendix to the dossier, copies of teaching evaluations by students for each course taught (the candidate will include all student teaching evaluations in her or his custody for each course taught); <p>3) A record of the candidate's <u>scholarship</u>, including:</p> <ul style="list-style-type: none">a) the candidate's personal statement on scholarship, consisting of a summary and explanation—normally not to exceed three pages—of the candidate's accomplishments and future plans concerning scholarship, and comments on these accomplishments and plans and on other items included in the dossier related to scholarship; | |

- b) a list, preferably from most to least recent, of the candidate's publications or creative works with, for each multi-authored work or coherent series of multi-authored works, a brief statement of the candidate's contribution to the work or series of works;
- c) a list of all published reviews of scholarship of which the candidate has knowledge;
- d) a list of attained support including grants and contracts received by the candidate;
- e) a list of invited lectures and conference presentations;
- f) a list of pending decisions regarding the candidate's scholarship that might affect the reappointment deliberations, including, for example, grant proposals, book contracts, and other publishing decisions anticipated in the near future;
- g) a list of all inventions and patents;
- h) and, as an appendix to the dossier, copies of the candidate's published work (and work that is in print or has been accepted for publication), indicating where each work has been or will be published;

4) A record of the candidate's service to the department, college, university, profession, community, and State of Iowa including:

- a) the candidate's personal statement on service, consisting of a summary and explanation—normally not to exceed two pages—of the candidate's accomplishments and future plans concerning service, and comments on these accomplishments and plans and on other items included in the dossier related to service; and
- b) a categorized list, preferably from most to least recent, of offices held in professional organizations; editorships of journals or other scholarly publications; service on review panels; service on departmental, collegiate, or university committees; departmental, collegiate, or university service positions; relevant community involvement, service to the State of Iowa; and other contributions;

5) Other information relevant to the candidate's record in teaching, scholarship, or service that is deemed to be important in the candidate's judgment can be inserted within the appropriate section(s) of the dossier as listed above.

No unsolicited correspondence evaluating the candidate's record, whether signed or anonymous, will be entered into the dossier at the collegiate level.

Internal Peer Evaluation

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| By the 2nd Friday of January | The DEO appoints an internal Departmental Review Committee for each faculty member undergoing a three year review to perform internal peer evaluation of the faculty member's teaching, scholarship and service. This committee must consist of at least two members, and preferably three. If there are fewer than 2 faculty members in the department/program who are eligible 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. |
| By the 4th Friday of January | <p>The internal Departmental Review Committee performs the peer evaluation of the candidate's teaching*, research and service and reviews the faculty member's CV and other documents in the dossier submitted by the faculty member. (See GC P & T Guidelines, pages 10-13)</p> <p>*Peer teaching evaluation of all 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.</p> |

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| <p>By the 3rd Friday of February</p> | <p>The internal review committee submits its peer evaluations in a written report <u>to the DEO</u>. <i>The evaluation provides informative and useful evaluation of progress made to date and work that remains before the candidate reaches tenure review. It should address the question, "Is this individual making appropriate progress toward a tenure review that is likely to have positive results?"</i></p> <p>The review report includes, as appendices, the written records of classroom observations conducted for this and earlier probationary reviews.</p> <p>*A statement with space for the faculty member's signature acknowledging that s/he has been informed of the results is included at the end of the written report (see bottom of page 1).</p> |
| <p>Within 5 working days</p> | <p>After receiving the report from the internal review committee, the <u>DEO</u> will send a copy of the internal peer evaluations to the faculty member.</p> |
| <p>Within 5 working days</p> | <p>After receiving the internal review committee's report from the DEO, the <u>faculty member</u> signs a copy and <u>returns the signed copy to the DEO</u>. The faculty member may submit in writing any correction to factual errors in the internal peer evaluations. If the faculty member submits a letter, that letter becomes a part of the permanent Third-Year Review record.</p> |
| <p>Departmental Consulting Group (DCG)</p> | |
| <p>4th Friday of February through 3rd Friday of March</p> | <p>A Departmental Consulting Group, consisting of <u>all</u> tenured members of the candidate's department is organized to review each Third-Year Review record. If there are fewer than 4 faculty members in the department who are qualified to serve on the DCG, qualified University of Iowa faculty members from outside the department must be identified to serve (see GC Promotion & Tenure Guidelines, pg. 3). The DEO in consultation with the Graduate Dean invites those outside members to serve.</p> <p>The DEO may attend the meetings of the DCG, but may not vote, participate in the discussion other than to provide factual information, or contribute to the written report.</p> <p>The DCG will meet to discuss the candidate's qualifications and to vote by secret ballot for or against the granting of a reappointment. A <u>simple majority</u> vote constitutes a positive recommendation. The chair of the DCG, who is appointed by the Dean in consultation with the DEO, is responsible for leading the discussion of the DCG. The chair will see that those attending meetings of the DCG sign in, so that there is a record of who were present for the discussion. The chair of the committee is responsible for submitting the report summarizing the discussion of the DCG. The report shall not reiterate the details of the internal Departmental Review Committee's report, but provide an overall evaluation of the candidate, and a summary of the strong and weak points of his or her record. The Summary Report must reflect the range of opinions expressed in the meeting and must include the DCG's analysis of the internal evaluations of the candidates. The report must be written in a way that does not violate the expectation of confidentiality on the part of the members of the DCG, former students or others who write in expectation of confidentiality. The report must list the eligible faculty who were not present for the discussion and therefore did not vote, with the reason for the absence. It must record the number voting to reappoint and the number voting to deny it (a simple majority defines a positive recommendation).</p> <p>A recommendation for reappointment should be based on evidence that the faculty member shows promise of establishing a record sufficient for a positive recommendation for tenure by the sixth year of probationary service (or the year in which a mandatory tenure review will occur).</p> |

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| By the 3 rd Friday of March | <p>The results of the DCG's vote and the summary report of its discussion will be transmitted to the DEO and to the candidate, redacted as needed by those who prepared the Summary Report to protect the confidentiality of any individual contributions.</p> <p>*A statement with space for the faculty member's signature acknowledging that s/he has been informed of the results is included at the end of the DCG's written Summary Report The faculty member will return a signed copy of the Summary Report <u>to the DEO.</u></p> |
| Within 5 working days | <p>After receiving the DCG Summary Report, the <u>faculty</u> member may submit to the DEO a letter of response correcting any factual errors in the Summary Report and attaching any additional information to be included in the review record. If the faculty member submits a letter, that letter becomes a part of the permanent Third-Year Review record.</p> |
| Departmental Executive Officer (DEO) | |
| <p>By the 4th Friday of March</p> <p>(This step must occur no later than 5 working days prior to the deadline noted in the November memo from the Provost)</p> | <p>After reviewing the DCG's Summary Report and any response from the faculty member, the <u>DEO</u> electronically submits his/her written reappointment recommendation and rationale in PDF to the Dean of the Graduate College. Copies of the faculty member's CV, a copy of the signed DCG Summary Report, and any response from the faculty member are also scanned into PDF and electronically submitted to the Dean of the Graduate College.</p> |
| | <p>If the third year review yields a decision to reappoint:</p> |
| | <p>The DEO's letter to the Dean should indicate that reappointment be for a time that will enable a tenure review, most usually three years.</p> <p>A reappointment time of less than three years, which would yield a total appointment less than six years, must have been agreed upon at the time of hire or requested by the faculty member; in either case, such an action would need to be cleared through the Office of the Provost.</p> |
| | <p>If the review yields a <u>negative</u> recommendation for reappointment:</p> |
| | <p>At the same time that the above materials are transmitted to the Dean, if the DEO's recommendation for reappointment is negative, the DEO will provide the candidate with a copy of his/her letter to the Dean.</p> <p>*A statement with space for the faculty member's signature acknowledging that s/he has been informed of the results will be included at the end of the DEO's letter. The faculty member will return a signed copy of the DEO's letter <u>to the Dean of the Graduate College.</u></p> |
| Within 5 working days | <p>The faculty member will have 5 working days after receiving a copy of the DEO's negative reappointment letter to submit a letter of response. His/her response, if any, is submitted to the Dean of the Graduate College with a copy to the DEO, and the response becomes a part of the Third-Year Review record.</p> |

| Dean of the Graduate College | |
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| <p>By the 1st Friday of April</p> <p>(or no later than 5 working days prior to the deadline noted in the November memo from the Provost*)</p> | <p>The Dean of the Graduate College reviews all materials, writes a response to the review, addressed to the DEO and copied to the faculty member, concerning issues raised in the review. The Dean completes the Annual Review Form located in the HR Transaction System with his/her recommendation on contract renewal, attaches all required documentation to the Annual Review Form, and submits it through workflow. Required documentation includes:</p> <ul style="list-style-type: none"> • Faculty member's CV • DCG report concerning discussion and vote (signed by the faculty member) • Response from Faculty member, if any • DEO's letter recommending reappointment & specifying term of reappointment • If DEO's letter is denying reappointment, that letter (signed by faculty member) is included. • Only <u>if denial</u>, response from Faculty member, if any • Dean's letter <p>Once submitted via workflow by the Dean, the Annual Review form will be routed via workflow to the DEO and then to the Provost for final approval.</p> |
| If Non-renewal | |
| <p>If the third-year review results in a decision that the faculty member is not performing satisfactorily and reappointment is not recommended, then a terminal, one-year appointment is given. The one-year appointment is then the final year of employment. The Operations Manual contains very clear language about the third year review and its conduct (http://www.uiowa.edu/~our/opmanual/iii/10.htm#101)</p> <p>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.</p> <p>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.htm) and "Clinical Faculty" in section III 10.9h (http://www.uiowa.edu/~our/opmanual/iii/10.htm#109).</p> | |

**Previous years, annual reviews due in Provost Office 4/9/07 and 4/11/08.*

University of Iowa Graduate College

THIRD YEAR REVIEW OF NON-TENURED FACULTY

