

The Faculty Handbook, Iowa State University
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Evaluation/Review

In this document the term "department" is understood to include any academic unit designated as a "school."

Evaluation of Faculty Members

1. General Policies and Procedures

For purposes of evaluating performance, Iowa State University uses the following forms of faculty review:

- annual review
- preliminary review of probationary faculty
- promotion and/or tenure review

Annual Reviews

Faculty members are reviewed annually for performance appraisal and development on the basis of their position responsibilities. This review may serve as a basis for determining merit salary increases.

Annual faculty reviews are conducted by the department executive officer (DEO). In some departments it may be desirable for the DEO to select other persons from the department to aid in this evaluation.

Following the review, the DEO discusses the results with the faculty member, thus providing an opportunity for exchange of ideas that would be of benefit to the individual and the department.

Similar procedures apply to faculty holding administrative positions, such as the department executive officer and dean. These reviews are conducted by their immediate supervisors.

Preliminary Review of Probationary Faculty

Probationary faculty members are typically reviewed by their departments in the second or third year of their appointments. The purpose of this review is to provide constructive, developmental feedback to probationary faculty regarding progress in meeting departmental criteria for promotion and/or tenure. This review also informs the decision to reappoint during the probationary period. (See appointment procedures, FH, p. 11)

The review should be based upon departmental criteria and standards used for promotion and/or tenure. The review process must include peer review and an evaluation by the DEO. External letters are not normally expected as part of the process. Additional reviews may be conducted at the discretion of the department.

Promotion and/or Tenure Review

The evaluation for promotion and/or award of tenure initially takes place within the department, with review at each administrative level above the department. Review of departmental recommendations at the college level must involve faculty from outside the department concerned. For college procedures related to faculty involvement see the section on College Review in "Procedures for Promotion and Tenure Review." The evaluation procedures for award of tenure are those used for evaluation for promotion. For full descriptions of the standards, qualifications, and procedures see "Standards for Promotion and Tenure," "Qualifications for Academic Rank and Tenure," and "Procedures for Promotion and Tenure Review."

2. Position Responsibility Statement

It is the policy of Iowa State University that these evaluations are based on the position responsibilities of faculty members and other activities that relate to faculty appointments. The results of all reviews must be shared with the individual faculty members.

A position responsibility statement is a tool that allows for a flexible and individualized system of faculty review, particularly within the promotion and tenure process. The description itself should be general and only include the significant responsibilities of the faculty member that are important in evaluating faculty accomplishments in the promotion and tenure process. The position responsibility statement shall not violate the faculty member's academic freedom in teaching, in the selection of topics or methods of research, or in extension/professional practice.

The statement must be subject to regular review by the faculty member and his/her DEO, and allow for flexibility in responsibilities over time and for the changing nature of faculty appointments. The statement should allow both faculty members and their administrative and peer evaluators to understand the basis of the academic appointment and to place that into context with the promotion and tenure criteria. The descriptions should be brief but may include detail important to the department and/or faculty member. The position responsibility statement cannot be changed unilaterally by either the DEO or the faculty member. A department governance document may specify the procedure by which a position responsibility statement can be changed.

At the time of appointment, the DEO and the new faculty member will agree on a position responsibility statement that should be based on the job advertisement. This should stand for the first three years of appointment. In most cases, this initial statement will remain in effect until the tenure review. Any changes in the expectations for the untenured faculty member must be made in consultation between the DEO and the faculty member.

When tenure is granted, the faculty member and his/her DEO should review the details of the position responsibility statement and make any necessary changes.

At least every seven years as part of the annual review process, tenured faculty members should re-evaluate their position responsibilities with their DEOs. The statement may be reviewed and/or changed more frequently as part of the annual review process, but this is not mandated. Any changes in the statement must be made in consultation between the DEO and the tenured faculty member.

3. Joint Appointment

Evaluation of a person holding rank in more than one department should be initiated and conducted by the primary department, with advice from the secondary department. The individual's letter of intent (for new appointments) and the position responsibility statement will specify the primary department. Prior to the review, the two DEOs should decide on the role to be played by the secondary department, including the preparation of the documentation from the secondary department and the process for including that documentation in the review. In cases with an equal division of responsibilities, the departments may agree to conduct separate reviews.

Evaluation of Department Executive Officers

Periodically each DEO is evaluated on the basis of his or her administrative responsibilities and accomplishments. This review is normally initiated by the college dean as part of a reappointment decision. Mechanisms for department faculty input are provided within the evaluation process. Policies and procedures regarding these reviews are contained in college governance documents and may be included in departmental governance documents.

Evaluation of College and Central Administrators

For information regarding the evaluation of a college dean, see Appendix G, "Policy for Faculty Involvement in Evaluation of College Deans."

For information regarding faculty review of central administrators, see Appendix D, "Review of Central Administrators."